

**General Plans for Operational Alignment Review at ETSU
2019 - 2020**

Working Group on Research and Innovation

General Charge

ETSU is consistently recognized for its outstanding mission focus, culture, and values. The work being requested of this group is based upon a desire to align the operations of our university in a way that is consistent with our mission and enabling to achievement of our goals and strategic initiatives that are part of our Strategic Plan for 2016 – 2026. Beyond that, the work of your group should help position the University for excellence for the next decade.

As you begin your work and address your charge, your work group or task force will be expected to complete an environmental scan to determine:

1. Trends in higher education research and innovation that will influence outcomes at ETSU over the next 10 years in relation to research, innovation, and economic development.
2. Benchmark institutions with best practices.
3. As a group, identify the “critical questions” related to your assigned topic that from your experience and expertise you believe should be addressed during this review.

Specific Charge and Deliverables

President Noland provided the ETSU Board of Trustees in November 2018 a concept for a new position at ETSU that would strengthen our research footprint and alignment with Ballad Health System. This position would be a senior/vice presidential level role to lead strategies in research, innovation, and economic development and to work with community partners for maximum synergies.

Deliverable #1: Working from the premise that such a position will be created, and using the Organizational Design Elements provided, turn this concept into reality by developing the position and its place in the ETSU organizational structure to include: (1) an organizational structure to support this function while collaborating with the academic enterprise of the University; (2) a description of the role and responsibilities for this position; and (3) a timeline/process for implementation. **DUE: August 1, 2019**

The Working Group on Research and Innovation is requested to complete a review of the Research Strategic Plan developed in 2015 (attached) and other research related documents such as the AIM Initiative Self- Study Section on Research (attached); the Ballad Academics and Research Report 2016 (attached); any other research summaries provided by Dr. Bill Duncan that has been compiled in the last five years to identify the scope and focus of research at ETSU.

Deliverable #2: Provide an updated Research Strategic Plan with fiscal notes that aligns with the University’s Strategic Plan for 2016-2026 and the identified strategic initiatives related to research, innovation, and economic development. **DUE: September 1, 2019**

Attachments:

ETSU 2015 Strategic Plan for Research

125 Report

ETSU Strategic Plan 2016-2026

AIM Research Sections (Briefing Book and Consultant Comments 2018)

Clinical Research Readiness document (Duncan/Means) developed (2018)

Noland Description of VP Research and Innovation (2018)

The Blue Ridge Group Monograph



Noland



Clinical Readiness



AIM Consultant



Aim Briefing Book



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BlueRidge-2015.pdf

Presentation to BOTResearch DocumenReport Section on RSection on Research pdf t (1).pdf _for_research.pdf

Team Leader	Dr. Nick Hagemeyer, Gatton College of Pharmacy			
Membership* (see selection criteria at end of document)	Dr. Jonathan Peterson Health Sciences	Dr Greg Ordway Biomedical Sciences	Dr. Eric Sellers Psychology	Dr. Joe Bidwell Biological Sciences
	Dr. Bill Block Medicine	David M. Smith Financial Systems Manager	Dr. Aruna Kilaru Biological Sciences	Dr. Bill Duncan, ORSP/Resource

Organizational Design Elements	All policy organizations work best when consideration is given to the following eight Design Elements (Meltzner and Bellavita, <i>The Policy Organization</i> , Sage Publications, 1983). The work of this group should take into consideration and address how each design element is impacted by the recommendations of the group and all discussion should consider the University's guiding principles related to equity and inclusion within each element of organizational design.	
	Goals	What are the operational goals of the unit (What will the members of the unit spend most of their time doing? What outcomes are expected?) How do the goals of the unit address the 2016-2026 Strategic Plan of East Tennessee State University? Which goals directly address the Strategic Initiatives of the Strategic Plan? How does the Vision for 125 inform the goals of the unit?
	Members	Who are the people (or types of job/positions) that will accomplish the work of the unit? Do other units at the University have individuals tasked to perform similar work?
	Facilities/Environment	Where should this unit be located in relation to the work that it needs to accomplish (this includes both physical location and place on an organization chart)? Consider how the unit is connected to other units within the university and factors that will contribute to effective working relationships with those units. What are the physical characteristics of the space that is needed for the unit to achieve its goals? What is the availability of resources – human and physical to support the work of the unit?
	Structure	How should the unit be organized in order to achieve its goals? Consider the formal aspects of how the work is to be done as well as the informal aspects.
	Resources	What funding is available to support the work of the unit (consider current budgetary assignments, any reallocation of funds, any new funding that will be needed and possible sources of such funding)? Describe how this unit fits within the existing budget. When and if appropriate, identify formal processes that must be completed to assure budgetary alignment and integration.
	Tasks	What kind of “work” will be done by this unit? What kind of expertise is needed to accomplish the tasks? Are there position descriptions available? Is any special technology required? Are there university, state or federal regulations that will impact the work of this unit? Are there existing resources in the university that provide services or technology that will support the work of this unit?
	Decision-Making	After determining the work and tasks of the unit, identify the standard operating procedures, or the processes and rules by which decisions will be made. Where does the unit fit within the governance structure of the University? What are the lines of authority? What decisions have final authority within the unit?

	Communications	How will this unit communicate with other units within the University? Will this unit have any designated reporting functions with the university's governance system? What opportunities will there be for formal and informal sharing of information, planning strategic initiatives, or common problem solving with other university units? How will this unit communicate with units outside of the University? Can these outside units be identified now? What mechanisms will there be for formal and informal communication with outside organizations and affiliate?
Outcomes/Deliverables		
<ol style="list-style-type: none"> 1. Outcomes and deliverables will be specific to the charge of each working group or task force. The product should be complete enough to demonstrate that the eight design elements and all crucial questions have been considered. 2. All recommendations should include a timeline for implementation. 3. All recommendations will be presented through the Senior Vice President for Academics and Interim Provost to the President's Executive Team for initial review and consideration for matters related to alignment within the University's operating structure, budget implications, and alignment with the Strategic Plan and Strategic Initiatives. 4. Following this initial review, recommendations involving matters of structure, policy, or governance will be routed through the university's governance bodies to include Student Government Association, Staff Senate, Faculty Senate, Council of Chairs, Academic Council, and University Council to facilitate communication or to seek endorsement as needed prior to implementation. 5. Following initial review, recommendations that involve administrative operations will be forwarded to the University Council, which has representation from the existing governance bodies, for communication or endorsement as needed prior to implementation. 6. Actions requiring Board of Trustee approval will be forwarded to the BOT following action by the University Council. 		
Definitions, Timelines, and Expectations		
Working Groups	<p>Working groups will be established to address immediate, time critical issues and resolve unanticipated consequences from realignment efforts.</p> <p>Work groups will generally consist of no more than 9 individuals.</p> <p>Generally, the timeline for work groups will be six to eight weeks from the establishment of the group to presentation of recommendations</p>	

Task Forces	<p>A “Task Force” will be established when a more comprehensive investigation and report are required. If a task force is established it is implicit in its establishment that there is an opportunity for improvement, better alignment of resources, development of synergies, or elimination of duplication of effort.</p> <p>Task Force groups may bring about fundamental change in organizational structure or processes; or, they may affirm and update current structure and operations</p> <p>A task force will generally consist of no more than 12 – 15 individuals.</p> <p>Generally, the timeline for work groups will be no more than three to six months. As this work is of critical significance to aligning our mission, strategic plans, and operations, timely approval and implementation of recommendations will be paramount to future success.</p>
Selection of Work Group and/or Task Force Membership	
Member Characteristics	<p>It will be critical to have individuals named to these working groups and task forces who are:</p> <ol style="list-style-type: none"> 1. Committed to being actively engaged in the process to include attending meetings and completing required “off-line” work in preparation for meetings and discussions; 2. Willing to set aside personal bias to reach consensus that is in the best interest of the University; 3. Willing to have dialogue with colleagues at ETSU and within their professional network to gain a broad perspective of the area/unit under discussion. 4. Provide representatives from various sectors of the university to assure a comprehensive perspective to each issue/unit being addressed.
Selection Process	<p>Individuals may become members of work groups or task forces by:</p> <ol style="list-style-type: none"> 1. Appointment based on interests and expertise 2. Nomination by Faculty Senate, Council of Chairs, Staff Senate 3. Nomination by an individual’s Director, Chair, Dean, or Vice President 4. Volunteer (for general appointment or for a specific assignment)

FYI: How Were Issues/Topics for a Work Group or Task Force Identified and Commissioned?

The purpose of this University-wide emphasis on operational alignment is to assure that the University's organizational structure and leadership team is aligned with our mission and with our strategic initiatives. This intensive review will increase focus, reduce redundancy, identify accountability, and best position the institution for the next ten years. This review comes at a critical time in the institution's history and has the potential to strengthen the focus on our mission, enhance the quality of our institution, achieve our strategic initiatives, and advance our standing among academic institutions in Tennessee and beyond.

Work groups and/or task forces will be formed to address immediate, near term, and long-term opportunities to align institutional structure with strategic planning objectives.

Impetus for change and study may come from:

1. Retirements, vacancies, and structural change.
2. Administrative assessment and review of existing structures and operations.
3. Recommendations from existing governance/representative groups on campus.
4. Suggestions and observations from the ETSU community of faculty, staff, and students.
 - a. Voluntary submission of ideas to Senior Vice President for Academics
 - b. Simple "Request for Proposal" process requesting input.

The President's Executive Leadership Team will:

1. Review all proposed topics and authorize the appropriate level of review, if any.
2. Review and approve the Charge, Leadership and Membership of review groups.
3. Provide consultation and advice as needed to review groups
4. Receive recommendations from working group
5. Initiate campus-wide review/endorsement of recommendations as appropriate, prior to final action by the President of ETSU and/or the Board of Trustees as designated within policy.