DEPARTMENT ADMINISTRATOR: RESPONSIBILITIES AND EXPECTATIONS

Claudia R. Adkison, J.D., Ph.D.
Executive Associate Dean / Administration & Faculty Affairs
Emory University School of Medicine
Department Administrator Training Program
September 1, 2006
WELCOME!

Administrator School -- Dream come true

Special thanks to Assistant Dean Joshua Barwick, J.D.

Thanks to all who assisted in planning, will be speaking in course, are attending course

Thanks to our DAs and those who work with them
The Emory Clinic, Inc. Organizational Chart

President & Chief Executive Officer, EMORY HEALTHCARE
John T. Fox

Dean, Emory School of Medicine
Thomas J. Lawley, MD

Director and Chairman of the Board, The Emory Clinic
S. Wright Caughman, MD

Chief Operating Officer
Donald Brunn

Director, Patient Financial Services
Jerry Davis

Chief Financial Officer
Jennie Hrastar

Operations Administrator
W. Michael Mason

CMO of Clinical Operations
Penny Castellano, MD

Director, Professional Affairs
Gil Grossman, MD

Project Administrator

Associate Director, The Emory Clinic
Ira R. Horowitz, MD

Senior Director, EHC Human Resources

Director, Human Resources
Rick Springfield

Associate General Counsel
Lisa D’Agostino, JD

Physician Section Heads

TEC Section Business Managers

Source: Administration, The Emory Clinic

Updated January 2006
OFFICE OF ADMINISTRATION AND
FACULTY AFFAIRS -- DEANS

Claudia R. Adkison, J.D., Ph.D., Executive Associate Dean

Brenda Seiton, J.D., Assistant Dean for Administration
  - Conflict of Interest, consulting and other external agreements, policy interpretations

Joshua Barwick, J.D., Assistant Dean for Administration
  - Contracts, academic misconduct and grievance procedures, assistance with disciplinary matters, special projects for program development, policy interpretations

Sharon Weiss, M. D., Assistant Dean for Faculty Development
  - Mentoring, assistance with departmental faculty development, counseling on promotion, Dean’s office initiatives for faculty development and recognition

Rehan Khan, Assistant Dean for Information Technology and CIO
  - SOM database and desktop support, interaction and supervisory role with departmental IT specialists, interface with University and EHC IT
OFFICE OF ADMINISTRATION AND FACULTY AFFAIRS -- DIRECTORS

- Ms. Patricia Olinger, Director of EHSO
- Ms. Sandra Franklin, Director of WHSC Library
- Open, Director of Postdoctoral Education Office
- Ms. Shelle Bryant, Assistant Director, Medical Administration
  - Oversees all staff HR for SOM, works with departments on unusual hires, HR problems, salary setting, recruitment, hiring, and termination procedures

- Ms. Jane Crosta, Assistant Director, Faculty Administration
  - Oversees process and procedure for faculty appointments and promotions, policy information
CHAIR AND DEPARTMENT ADMINISTRATOR
OVERLAPPING DUTIES

Research

Service: Clinical And Citizenship

Teaching
CRITICAL IMPORTANCE OF THE DEPARTMENT ADMINISTRATOR

- Principal business officer, COO, and CFO for academic and clinical business activities and administrative services at all sites
- Accountable on all points, regardless of delegation
- Concept of the A, B, and C Department Administrator
- University employee but can receive compensation for clinical duties through the University
- Reports to Department Chair, dotted lines to COO TEC, EAD Admin and Fac Affairs SOM, EAD Finance and CFO SOM
- HR classification as Senior Clinical Administrator, Clinical Administrator, or Basic Science Administrator tied to type and size of department and scope of responsibilities (not time in rank)
SUMMARY OF RESPONSIBILITIES

- **Administration** – administrative aspects of research, education, clinical operations at all sites
- **Financial management** -- budgets and accounts, all types and sites
- **Internal audit controls** – from staff time cards to expenditures and gifts
- **Workflow processes** – productive, efficient, timely, compliant
- **Sponsored programs and research administration** – staffing, training of faculty and staff, implementation EHSO requirements, budget support for faculty, accounts maintenance and tracking
- **HR** – recruits, hires, oversees and supervises, develops, disciplines all department staff; affirmative action
SUMMARY OF RESPONSIBILITIES (2)

- Regulatory and accreditation compliance, research, health care, educational – staffing, training, CAS, effort reporting, duty to report and correct errors
- **Conflict of interest management** in research, clinical care, administration, education
- **Faculty position group practice administration** – staffing, compliance, finance, schedules
- **Reports and information** to Department, School administration, University
- **Represents Department**
- **Faculty appointments and promotions** – manage processes
SUMMARY OF RESPONSIBILITIES (3)

- **Facilities, environment, safety** – space allocation and maintenance, EHSO requirements, training, staffing, budgets
- **IT management** – computer refresh programs, interfaces, desktop support
- **Leadership and professional development** – for self, faculty, staff
- **Strategic planning** – ideas and supporting data for chairs and SOM committees
CULTURAL CHANGING TIMES

The Baby Boomers and Generation X have brought to the academic and health care system more flexibility.

THE PROS

Greater tolerance for individualism
Greater pluralism in decision-making
More out-of-the-box innovation and creativity
More tolerance for emphasis on lifestyle and self
Ethical norms are suffering:

- Win for myself or win at any cost
- Bend the rules
- If it isn’t illegal or against a policy, it’s OK
- Gaming the system is the way to get things done
- Conflict of interest is for dummies
- Strip away the regulations and constraints
ESSENTIAL CHARACTER TRAITS OF DAs

- Stewardship
- Attitude of winning for the institution
- Commitment to the long-term health of the institution
- Dedication to caring for all constituents
- Internalized ethics and professionalism
  - Integrity, obligation, duty, citizenship, calling, dedication, preservation, leadership, caring, and trust
ACTIONS FOR SUCCESS

- Do the right thing, be the role model – ethics, integrity, professionalism
- Follow the rules and procedures
- Don’t game the system – you will lose respect and credibility
- Make heads-up phone calls
- Be service-oriented, a team player
- Develop the knowledge base and skills to do the job with excellence – ensure a high quality work product from the Department
- Be loyal to your Chair, Department, School
A FEW IMPORTANT POLICIES

Websites for faculty policies:
- Emory University, Provost’s site – Faculty Handbook, The Gray Book, Bylaws
- Emory University, Provost’s site, Research Administration – IP Policy, Research Conduct Policy, IRB and IACUC policies, NIH policies, CAS, Effort Reporting, etc.
- School of Medicine, Faculty Affairs site – A&P Guidelines, Faculty Development Policy, Conflict of Interest Policy, procedures, many others
- NEW SITE OPENS IN ABOUT 2 WEEKS
- School of Medicine, Research Office site
- Human Resources, Policy Manual (faculty and staff), Benefits site
MISCELLANEOUS INFORMATION AND POLICIES:

A WHIRLWIND TOUR
TROUBLE IN THE DEPARTMENT

- For staff matters, give Shelle Bryant a heads-up. She will assist you in working with HR and the staff member.
- For faculty matters, notify Dr. Adkison or Assistant Dean Barwick before taking action.
- All requests for assistance from the Office of General Counsel matters involving the department go through Dr. Adkison.
- Matters involving malpractice allegations and similar clinical issues and go through Dr. Gil Grossman, TEC. He will work with you in involving Risk Management and General Counsel.
- Inform Dr. Adkison and Dr. Grossman about matters that cross the lines.
Communication of highly sensitive information might require attorney-client privilege.

Privilege is not conveyed simply by labeling the information “attorney-client privileged”.

Attorney-client privileged communications are those between you and an attorney, involving matters that may lead to litigation or inquiry under federal regulations.

Appropriate others may be copied, as long as the attorney is included.

Attorney-client privileged status is lost if you forward written information to others, not going through the attorney and not copying the attorney.

Dean Adkison, Dean Seiton, and Dean Barwick are not attorneys for the University and cannot convey attorney-client privilege.
COURSES AVAILABLE IN HR

http://emory.hr.emory.edu/onlinereg

- Management skills on recruitment, retention, leadership, diversity
- Performance management
  - Documentation
  - Steps to assist maintenance staff
- University policies and procedures on managers training, purchasing card, travel, online requisitioning, FAS accounting, accounts payable, processes for hiring students
- HR toolkit
- PeopleSoft
http://emory.hr.emory.edu/policies.nsf

- Employment of Relatives – Nepotism Policy
- Employment of Foreign Nationals – (Ms. Shelle Bryant, Dean Josh Barwick)
- Transfer of Employees between University and EHC
- Compensation (Ms. Shelle Bryant, Mr. John Kosky in HR)
- Employee standards of conduct and discipline
- Health and safety, immunizations
- Tuition and courtesy scholarships
HR POLICIES ON LEAVES

- **Administrative Leave** - to investigate and evaluate the circumstances regarding a pending action – MUST WORK WITH EAD-FACULTY AFFAIRS & ADMINISTRATION
  - With pay - Office of Equal Opportunity Programs investigation, e.g., for alleged sexual harassment or discrimination. Maximum of 30 calendar days
  - Without pay - investigation for non-compliance with organizational policies or requirements, standards of conduct. Maximum of 14 days.

- **Family & Medical Leave Act (FMLA)**
  - Must be read together with Amer. With Disabilities Act, Maternity Leave, Parental Leave policies (MOTL)

- **Educational Leave**
  - Without pay, up to 2 years, for 0.5+ FTE employees

- **Military Leave**
  - Without pay, up to 5 years. Can use unused leave balances with pay. Entitled to reemployment rights and other benefits under specified terms.
HR POLICIES ON LEAVES (2)

- **Seasonal Leave**
  - Is it ever used?

- **Medical Leave (Non-FMLA)**
  - For a serious health condition that renders them unable to perform the functions of their jobs, an on the job injury, or an illness contracted while on the job.
  - Overlaps with FMLA
  - Many other terms in the policy
  - Involve Dean’s office early in consideration

- **Personal Leave**
  - For personal reasons
  - For increments of up to 30 days, not to exceed 90
  - May be approved or disapproved by department
  - Position may or may not be held
  - APPROPRIATE LETTER IS IMPORTANT – Involve Dr. Adkison or Dean Barwick
General Conflict of Interest Policy

- Must avoid any business or financial relationship, transaction, or event that may be viewed, internally or externally, as a conflict of interest between an employee and an outside party.

- Cannot have direct or indirect personal or financial benefit due to a relationship with a contractor, consultant, vendor, or supplier to Emory. Applies to family members as well.

Examples – all apply to family also and are interpreted as directly or indirectly:

- Having a position or financial interest in an outside entity that competes with Emory services
- Having a position or financial interest in a vendor to Emory if the employee is involved in or may influence the ordering of such goods or services
- Competing with Emory in the purchase or sale of property or property rights, interests, or services.
More examples – all apply to family also and are interpreted as directly or indirectly:

- Disclosing or using non-public information obtained through Emory employment for personal profit or gain
- Accepting gratuities or special favors, such as meals, airline tickets, hotel accommodations, entertainment, sporting event tickets, etc., from any outside concern that does or wants to do business with Emory
- Giving gratuities or special favors to employees as an attempt to influence the employees in the performance of their duties
- Retaining consultants who have a financial interest or employment that conflicts with services (including sponsored research) provided by Emory

Disclosure

- Anything that may raise a conflict of interest issue must be disclosed to dean in writing to determine its appropriateness and to receive specific approval to maintain or proceed with such relationship, transaction or event.
- Sometimes disclosure is just not enough!
INFORMATION TECHNOLOGY POLICIES

- Integrity and Privacy of Information Not Guaranteed
- Ownership of Information
- Access Code and Password Usage -- responsibility for all usage done under your Access Codes; never disclose Access Codes which were intended to provide you alone with personal access to University Electronic Systems
- Copyrights and Plagiarism – don’t copy content; don’t forward emails without consent
INFORMATION TECHNOLOGY POLICIES (2)

- Harrassment – train your faculty and staff not to use the systems unwisely

- Unrelated Use
  1) No solicitation for personal reasons
  2) No use for personal commercial gain
  3) No use for any non-University related activity, including non-University related communications

  Some reasonable use of email and computers is allowable but cannot interfere with work – shopping, games, extensive emails, jokes and big files, pornography

- Wasting Resources
Train your faculty and staff to be careful about what they write about others.

Train your faculty and staff to be careful about "admissions" in writing.

Train your faculty and staff to avoid the nuclear blast – the letter or e-mail, often widely distributed and forwarded, always inflammatory, often incorrect.

Almost always discoverable in a legal action.
WHO CAN SIGN

- Contracts, letters, memoranda that bind the University, School, Department – Lawley, Adkison
- Faculty recruitment letters – Department Chairs after Dean’s Office approval
- Faculty appointment/offer letters – Lawley, Adkison
- Faculty consulting agreements – individual faculty as private agents, home address, after approval by Dean Seiton
- Faculty salary increases or decreases – Chair or Administrator only after Dean’s office approval (includes retention offers); no-line entry, no HRAF to PeopleSoft without Dean’s office approval
- Faculty salary reallocations between TEC-University–Chair or Administrator, as long as total, all-source salary is unchanged, but grant effort and salary allocation must be corrected
Prohibition against use of University resources for private consulting or business activities
- E.g., letterhead, e-mail, trademark, name, equipment, personnel, facilities
- Affects tax exempt status (private inurement, private benefit)

Media policy – all contacts with and responses to the news media go through Health Sciences Communications

Consensual teacher-student relationships policy – prohibits faculty member from supervising a trainee if there was or is a consensual sexual relationship with the trainee
MEDICAL EDUCATION BUILDING