Business Process Improvement

December 2013
Simplified Award Process

1. Award arrives at UC
   - Proposal and award information is reviewed for accuracy and completeness

2. VP for Research
   - Information provided by college or Coeus
   - Accuracy of F & A rate
   - Adherence to cost accounting principles
   - Authorization to proceed

3. Conflict of Interest Committee
   - Outside activity reviewed for possible COI
   - PI Effort
   - Human/Animal Subjects
   - Biosafety
   - Environmental assessments

4. Returned to sponsor for changes
   - Discussion with AVP
   - Review by General Counsel
   - Review by Intellectual Property Office
   - Input from PI/Department

5. Returned to sponsor
   - Authorized individual as determined by General Counsel

6. Award is executed or accepted on behalf of College and PI
   - Award is negotiated to ensure acceptable terms for UC

7. A-323 is processed
   - Award is activated in SAP
Criteria for Selection

• Award process has biggest impact on PI
• Award process impacts the most stakeholders
• Award process has opportunity for improvement
• Award process has some quick fixes that provide big impact for stakeholders
• Quick fixes are not cost prohibitive
Defining the Problem

• The elapsed time from award received to account established in SAP is too long
• Customers are complaining
• Workload is increasing
Goals

• Improvements must reduce the effort of all stakeholders
• Improvements must include short term and long term solutions
• Improvements must simplify the process
• Improvement should not increase compliance risks
A-323 Recommendations

• Whenever possible establish a grant or contract using the project period not the budget period
• Develop a template for budget set-up
• Complete the bridge between COEUS and SAP
• Eliminate turning F & A distribution on and off throughout the life of a project
Project Period vs. Budget Period

• If a grant or contract allows carry-forward from one budget period to the next SRS will use the project period rather than the budget period when setting up a new account

• Examples include NIH R01, NSF, DOD grants, fixed price awards, most federal awards that use standard Research terms and conditions (FDP T & Cs)
Value Added

• Continuation awards would no longer need LOGs
• PCRs can be processed more timely
• Cost transfers will be reduced
• Reduced administrative burden on all stakeholders including PIs
Develop Budget Templates

• If a grant or contract allows re-budgeting SRS will establish the award with generic sponsored classes
• Academic Full Time; Post Doc; Unrep; Grad Student; Fringe; Lab Supplies; Travel; F & A; Accruals and Revenue
• Budget will be established on budget reserve line
Budget Templates Continued

• If additional sponsored classes are needed they can be added with an email request and justification

• Examples of additional sponsored classes may be subawards; animal costs; incentives for human subjects; others as needed

• Actual budget will be on one line “budget reserve”
Value Added

• New account numbers can be established for many awards without input from department business personnel
• Account numbers can be activated more quickly
• Fewer emails need to be monitored
• Departments process fewer A-323s
Application of New Business Process

• One shoe does not fit all
• Shoe could fit many
• Possible exceptions include
  – awards with limits on budget categories
  – awards with participant support costs
F & A Distribution

• During the time between end of budget period and arrival of continuation funding, SRS will no longer turn off the distribution of F&A

• SRS will continue this practice on new awards only
Feedback Is Critical

• Your thoughts; open discussion