Reorganization; Office Of Research
Reduction in Work Force

• Decrease in revenue (1.7M) drove 25% cut in staff
• Cuts were people not vacancies
• 25% of the work did not go away
• Only proposal submission for major colleges was outsourced
• Result: increase in time to process work
Sponsored Research Services

• 33% cut in staff
• Reduction in workload still unknown
Divisions

• 4 divisions merged into 2 divisions
  – Proposal submission, award acceptance, sub award management and data management
  – Fiscal, prior approval and audit management
Leadership

• Four Directors reduced to two Directors (John and Chris)
  – Workload redistribution between departments
    • Initial changes begin at the end of the process i.e closeout
  – Execution of awards; AVP
  – Reorganization of customer support to align two divisions
Empowering Colleges

• Major colleges now own proposal submission
• FY 14 is a transition year and support requests for this function remain high
• Workload benefit to SRS will evolve FY 14
Managing Change

• Old dogs are learning new tricks
• Turn around time has increased
• Expect delays
• Patience please
• Channel all turnaround time complaints to:
  – Debi Galloway 556-5054
Streamlining Processes

• Too much inventory!
  – Too many files with the same information
  – Too many copies of the same thing
  – Too many emails
  – Ask for examples of where SRS is providing too much inventory

• Not enough inventory!
  – Too many requests for award set up have incomplete information attached
  – Too many requests for subaward creation have incomplete information attached
  – Ask for examples of where SRS is not providing enough information
Streamlining Processes

• Over-analysis
  – Striving for perfection to the point of dysfunction
Streamlining Processes

• Over-processing
  – Checking someone else’s work
  – Multiple signatures
  – Excessive Reviews
  – Quadruple data entry
Streamlining Processes

• Wasted time and motion
  – Misplaced files and papers
  – Knowing where information stored (cross training)
  – Retrieval of previous information
    • “Where was I on this transaction” (interruption)
    • Ask SRS rather than utilize information on website
    • Ask the department rather than retrieve information from SRS file
Streamlining Processes

• The waiting game
  – Delays in feedback /decisions/approvals
Streamlining Processes

• Rework
  – Incorrect or missing information
  – Doing things multiple times
Streamlining Processes

• Under-utilization of staff
  – Cross training is critical
  – Collaboration with co-workers
    • Opportunity to walk in my shoes
  – Ownership of process
  – Empowerment and accountability
Customer Service Focus

• Meet customer needs
  – Guidelines for proposal review
  – AOR meetings to discuss needs
  – Ask the experts

• Support process improvement

• Meet compliance standards without going overboard

• Do it right the first time
Business Process Improvement

- Inventory all of our processes
- Identify prioritization criteria
- Blueprint processes to review
- Map processes selected
- Verify the map with constituents
- Apply improvement techniques
- Create internal controls, tools and metrics
- Test and rework
- Implementation
Inventory Process

- Inventory list will be cross functional to include SRS and Department interaction
- Describe the function, process and the owner of the process
- Example: Sub Award Process
Identify Prioritization Criteria

• What is the impact of the process on sponsored administration at UC?
• How feasible is it to change the process?
• How well is the current process working?
• What is the benefit or return of improving the process?
Blueprint Selected Processes

• Describe the process
• Define customer needs
• Create a scope
• List responsibilities in the process
• List stakeholders
• Codify how success will be measured
Map Selected Processes

• Create process flow map
• Verify the map with constituents
Apply Improvement Techniques

- Define improvement targets
- Eliminate bureaucracy
- Determine value added for each step
- Eliminate duplication
- Simplify, simplify, simplify
- Automate where feasible
Create Internal Controls, Tools, Metrics

- Identify where things can go wrong
- Discuss how to avoid things going wrong
- Develop tools to assist internal controls
- Define metrics for success
  - Metrics will change
Questions
“Managing the transition to subaccounts for all NIH grants could involve substantial changes to your institution’s cash draw/management processes (functional and technical), plus a large volume of new accounts, Federal Financial Reports (FFRs) and final invoices for sub agreements.”
Fiscal Close for Grants NSF & NIH

Both agencies have sent notices. Grant recipients have 90 days after the expiration date of the award to make final draws. **The ability to draw down fund will be turned off in their payment systems 90 Days after the grant end date.** Future draws will not be allowed without special agency approval.
NIH NOT-OD-13-112

NIH will transition payment for grant awards to Payment Management System (PMS) subaccounts by the end of FY 2014.

**Anticipated Implementation**
Between October 1, 2013 and September 30, 2014, NIH will transition payment for all new and continuing domestic awards from PMS pooled accounts (G accounts) to PMS subaccounts (P subaccounts). For these types of awards, PMS will establish subaccounts for each NIH award made on or after October 1, 2013.
For domestic grants with a non-competing continuation year of funding in fiscal year (FY) 2014 (October 1, 2013 – September 30, 2014), NIH will use a technical process to shift the funding from PMS G accounts to PMS P subaccounts by issuing all FY 2014 non-competing continuation awards as Type 4 awards (funded extension awards). This means that all domestic Type 5 awards (non-competing continuation awards) and Type 8 awards (non-competing continuation awards with a change of awarding Institute or Center), will be issued as Type 4s during the transition period. This enables NIH to separately track obligations and payments for grants which span the Federal FYs 2013 and 2014.
In addition to changing the record Type and the document number for the FY 2014 award, NIH will change the project period end date of the FY 2013 award when the FY 2014 award is issued. The project period end date will be changed to the budget period end date. This effectively breaks the single competitive segment in to two shorter "competitive segments." The change will be reflected in the eRA Commons; however, NIH will not issue a revised Notice of Award (NoA) for the FY 2013 award. Therefore, the FY 2013 award becomes the final year of the first "competitive segment" and requires final Federal Financial Report (FFR) expenditure data. If the award is under Streamlined Non-competing Award Process (SNAP), the grantee will be required to submit FFR expenditure data that covers the project period from the original start date through the new project period end date.
What changes?

If implemented, we will be required to complete a FFR for each award this coming year. This will require us to close all active accounts and set up new ones.

• New E-160 Contracts will be needed
• Close Out all sub awards and issue new ones
• All employee Payroll will need to be updated.
• Close all open PO’s etc.
What’s been the response from the grant community?

Both The Council on Government Relations (COGR) and The Federal Demonstration Partnership (FDP) has asked NIH to reconsider how they are rolling this out and have made suggestions. We know that NIH has written a letter to DHHS asking to take different action and we await the reply. As of today, the notice still stands.