

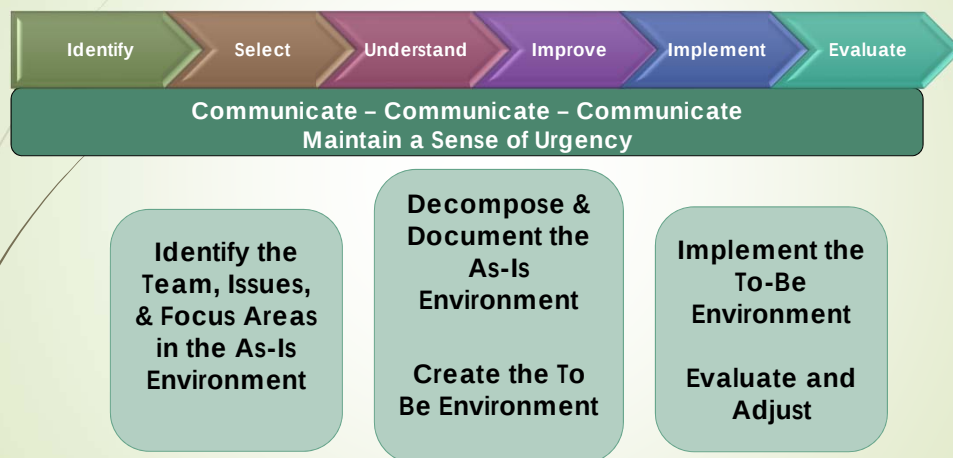
A Primarily Undergraduate Institution Organizational Review and Improvement Case Study

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Holistic Approach

Process Improvement Model



Getting Started

Identify

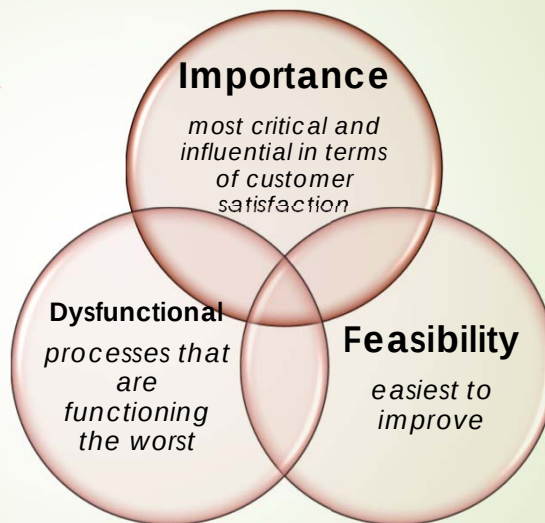


- Commitment to fix the problem
- Commitment to change
- Get the “right” people
- Get the conversation started
- Open lines of communication
- Stakeholders and impact area representation
- Team ground rules
- Secure a change support commitment from the highest levels of leadership

3

Select

Data is compiled, grouped, and analyzed to determine the most critical processes for selection.



4

Decompose the As Is

Understand

Identify the data and technology issues associated with processes. Priority is placed on understanding and identifying:

- Survey
 - Interviews
 - Review Policies and Procedures
 - Process mapping
 - Root cause analysis
- Systems used in carrying out processes,
 - Reliability and validity of available data as measures of impact, value and growth
 - Interoperability among systems,
 - Data important to the enterprise, especially data shared across systems and units, and
 - Data standards and how shared data is used by stakeholders

5

Understand the As Is

Understand



- What are the positive aspects of current operations?
- What are the shortcomings?
- What are the strengths and weaknesses in our processes for protecting, translating and commercializing discoveries?

6

Process Improvement: A Holistic Approach

Improve

Create the To Be vision

Define the gaps that exist between the current state and the "to be" state and the resources needed to close the gaps

The gap analysis and project plan creates the road map for change. Analysis considerations include, *but are not limited to*:

- ✓ Skills
- ✓ Training
- ✓ Systems
- ✓ Procedural resources
- ✓ Staffing levels
- ✓ Control and risk
- ✓ Organizational structure
- ✓ Benchmarks



Process Improvement: A Holistic Approach

Implement

Identify resources required, conduct a gap analysis, define and communicate the path to improvement; implement the To Be

Evaluate

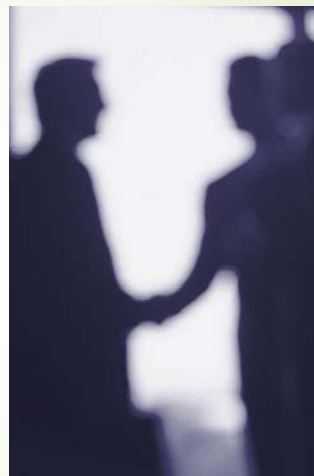
Evaluate and adjust

Case Study of Change

1. Structure Changes
2. Services & Expectations
3. Incentivizing Research
4. Operational Processes
5. Risk Mitigation Actions

1.1. SPO Office Leadership

Recommendation to hire an Associate Vice Provost for Research and Sponsored Programs which would fulfill the role of the office's operational leadership.



1.2. Combined Pre-/Post-Award Service Model

SPO staff in a combined integrated services model are responsible for assistance with proposal submission, expenditure approval, and sponsor requests.



**For each individual assigned primary responsibility for a department, during an absence or assignment to an institutional priority obligation each unit will have a standard alternate SPO employee responsible for supporting application and award management activities.*

1.2. Combined Pre-/Post-Award Service Model

Staff Training on New Responsibilities

- Training on a high functioning Sponsored Programs Operations
 - Proposal support
 - Website
 - Funding search service
 - Proposal development support (including editorial support)
 - Award Management
- For the first six under the new operational support model, all proposals where it is feasible will receive secondary review by another individual on the SPO team.
- When attending external professional development options it is recommended that the staff focus on content that is within their work scope obligations, but aligned with their new responsibilities in pre/post reorganization model.

1.3 Better Integration with Other Units

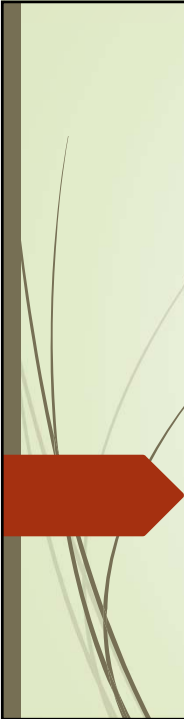
- ▶ Bi-weekly/bi-monthly meeting with:
 - ▶ Human Resources
 - ▶ Grants Accounting
- ▶ Potential need for meetings with:
 - ▶ Procurement
 - ▶ Equipment Management



1.4. Academic Affairs and SPO

Improved leadership investment and support for SPO operations on behalf of the Provost and Academic Affairs, including integration into priority setting activities and strategic plan expectations and performance for the division.





Changes and Expansion of SPO Services and Service Expectations



2. SPO Services and Service Expectations

1. Improved website presence, to include resources for proposals development.
2. Implementation of an SPO electronic newsletter.
3. Simplification of the *Intent to Propose* process and informational requirements.
4. Scheduling of Proposal Submit meetings on PI/PD calendars in advance of the submission deadline.
5. Proactive scheduling of SPO proposal submission deadline to faculty calendars using Outlook.
6. Proactive scheduling of technical report and award end deadlines to faculty calendars.
7. Subscription to a funding information service.

2. SPO Services and Service Expectations

8. Access to editorial services (SPO, Enago, English Department)
9. Recommendation for support of faculty course coverage by Deans/Department Chairs during proposal final submission efforts. Deans will need to establish a process for the approval of coverage, which should take into consideration the scope of the proposal and collaboratives which may be involved.
10. Expansion of faculty training on proposal writing and award management (coffee/tea short learning opps).
11. Implementation of a more proactive approach to support faculty/staff attendance at external training opportunities which support proposal/application competitiveness.
12. Expanded communication effort regarding opportunities for service on peer review panels.
13. Support for maintenance of faculty "Current and Pending/Other Support" detail.

3. Incentivizing Sponsored Research

1. Improve the culture supporting research
2. Consider faculty financial incentive options
 1. Extra service pay (supplemental pay)
 2. Salary savings investment
 3. Recognition of success in sponsored research efforts
 4. Bridge funding provisions for research
 5. Additional support for conference travel
 6. Annual sponsored research reception/dinner
 7. Preferred parking, free lunches at faculty club, etc.
 8. Improved recognition of success on the SPO website and eNewsletter
3. Consider providing an additional raise pool for SPO staff which is directly linked to the growth in sponsored activity.



Operational Process Recommendations: Incentivizing Sponsored Research and Activities



4. Operational Process Recommendations

1. Transition to electronic file folders.
2. Implement periodic file compliance monitoring activities.
3. Regular (bi-monthly meetings, more frequently when required) meetings with Human Resources and Grants Accounting/Fiscal Affairs.
4. Assess current equipment inventory process and determine if changes are required.
5. Transition more of staffer X's effort to institutional to reflect her SPO responsibilities with Biology, Math, and Computer Science and her backup support responsibilities.

4. Operational Process Recommendations

6. Ensure that the transition from “as is” responsibilities, to the newly proposed responsibilities must be taken into consideration when evaluating staff performance. Evaluations need to take into consideration the length of time staff have been responsible for their newly assumed duties, the breadth of new responsibilities, and the standardized resources available to support those responsibilities, (for example, procedural documentation). Transition time will depend on the individual’s years of experience and the level of job scope expansion under the new model. With the changing regulations which are a constant for sponsored programs, basic competence can be expected after six months to one year, competence may take three plus years.
7. Participation in ongoing professional development should be a standard expectation on behalf of SPO staff and an investment in the Office’s operations.

Risk Mitigation Actions to be Take

Closing Questions

