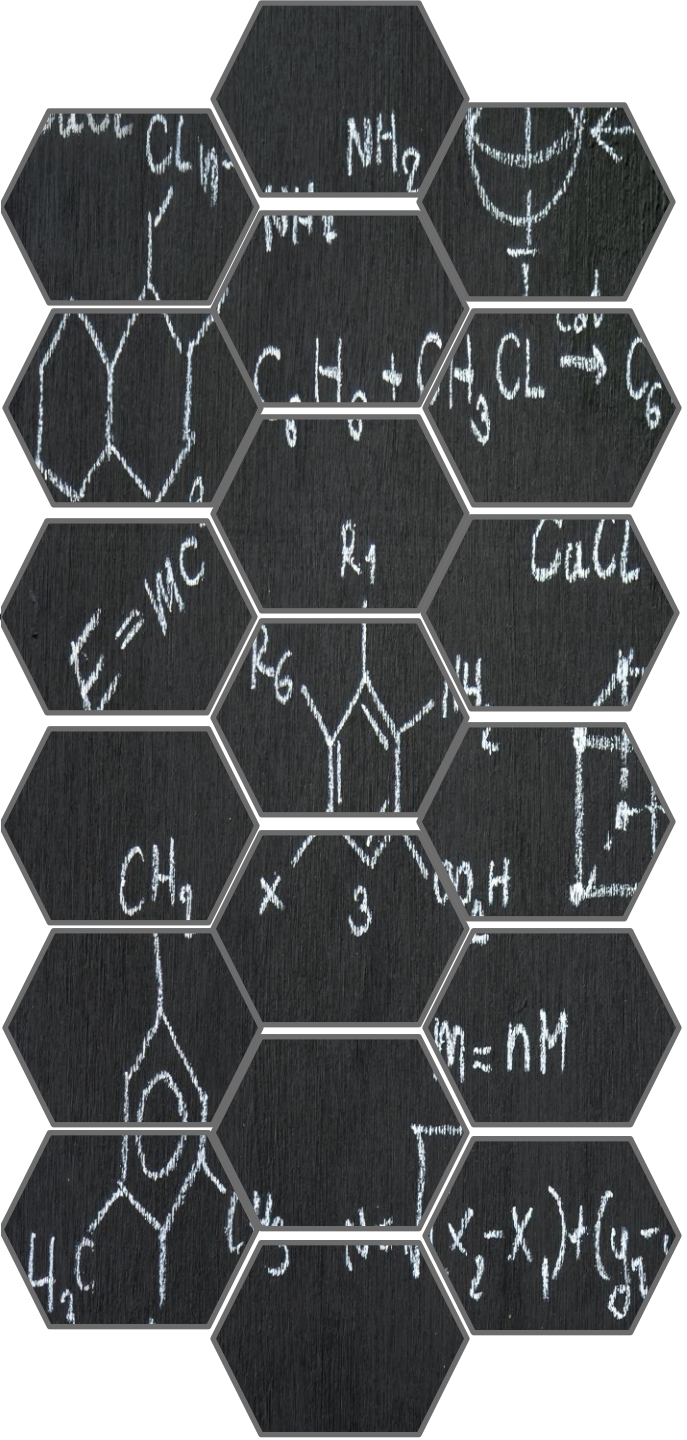

Barriers to Process Improvement Research Administration

SRAI, Colorado Springs

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Facilitator

Nicole Quartiero

Director, Research Project Management

NOTRE DAME UNIVERSITY

Facilitator

Amanda Breeden

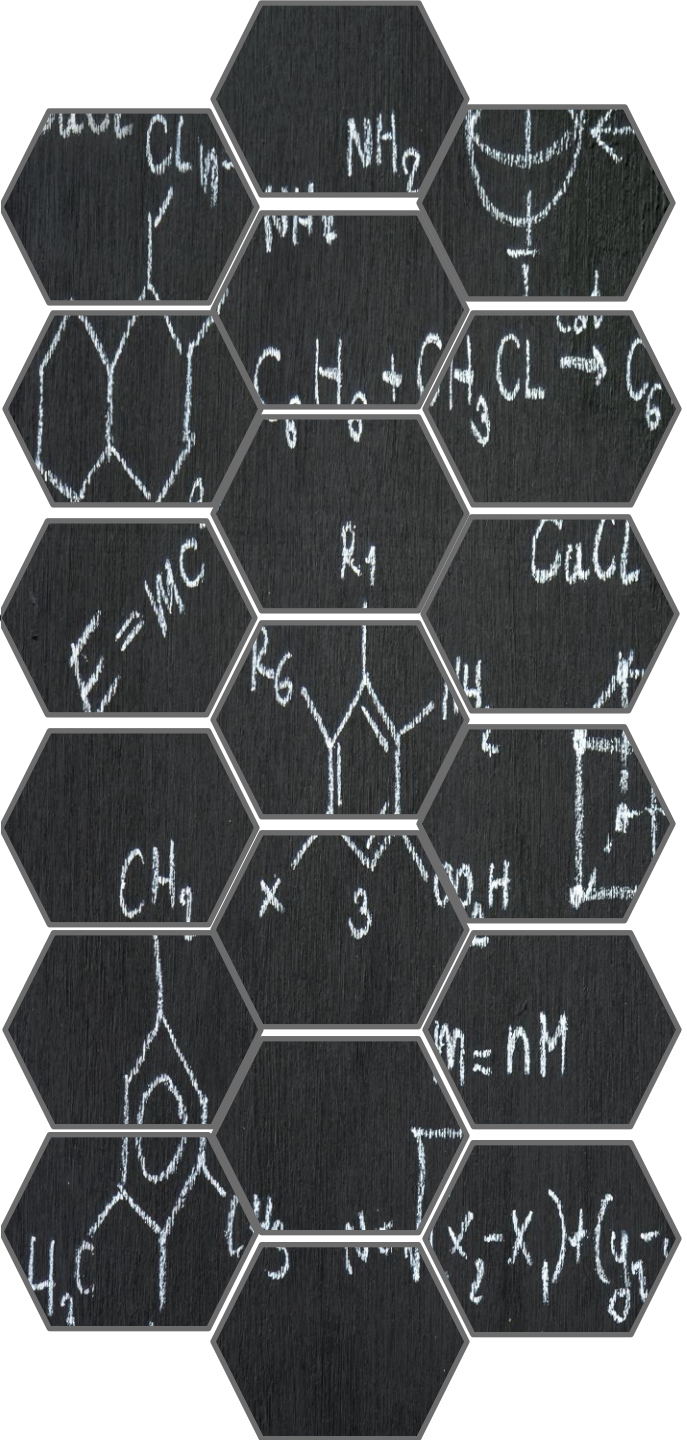
Associate Chief, Research Operations

DENVER HEALTH

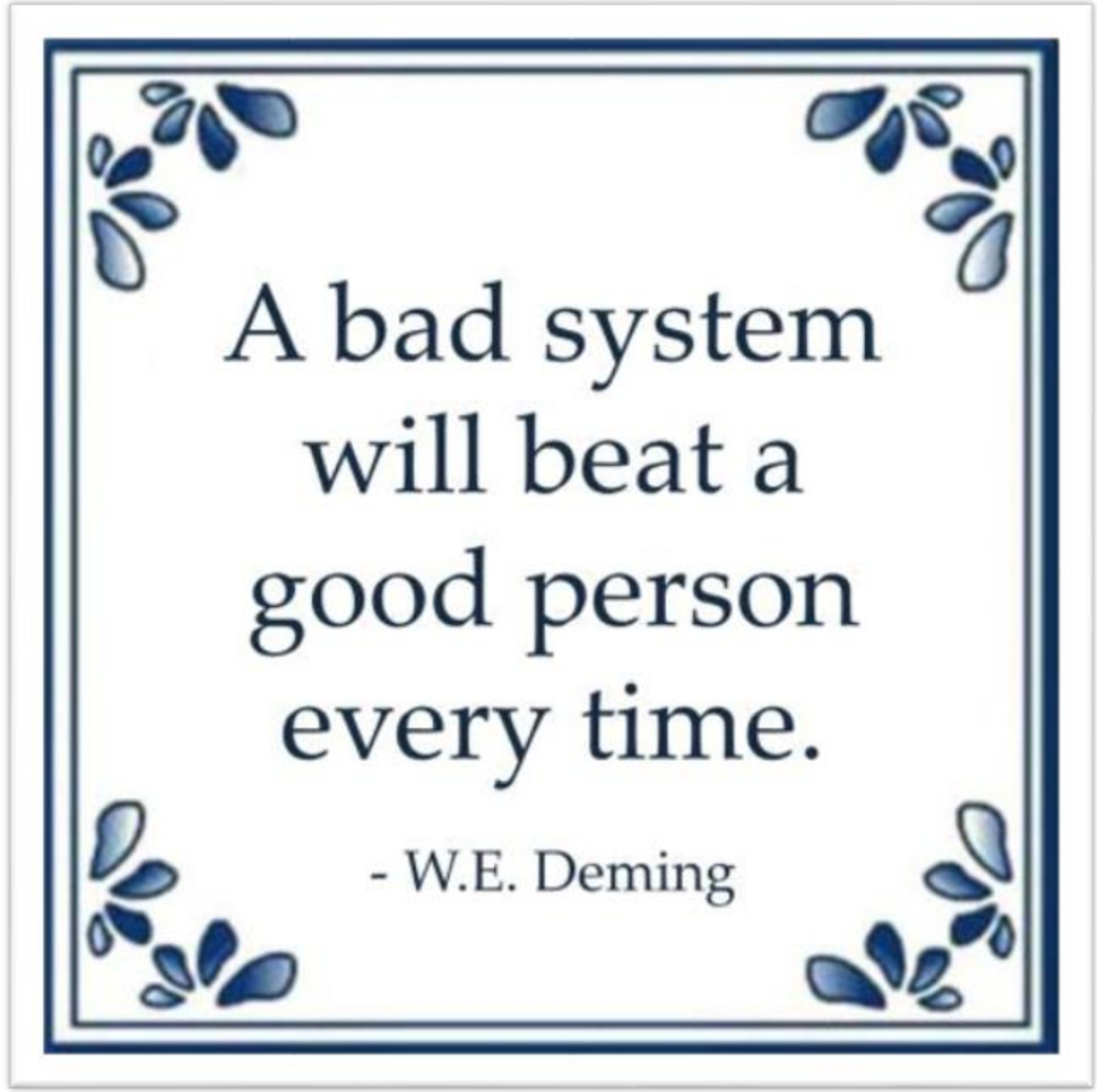
Do your days look like this?


And leave you
feeling like this?

94% of your problems are systems / process based while only 6% are people based



Lean Research Administration


A bad system
will beat a
good person
every time.
- W.E. Deming

System = a collection of processes

Lean Definitions

Lean is a systematic approach of continuous process improvement that uses a combination of principles and tools. At the core of a lean approach to managing and improving business and continuously solving problems is an intense focus on providing value to customers and reducing process waste.

Lean Research Administration is a systems-focused approach to process improvement that puts the Investigator experience at the core of iterative and continuously improving solutions. Lean research administration includes comprehensive research compliance but focuses on improving the processes of all aspects of research administration.

Lean Pillars

Continuous Improvement

Respect for People

Key Lean Principles

Continuous Improvement

- Establish clear, standardized procedures that staff agree are the “current best-known way”.
- Encourage a culture of continuous improvement by regularly reviewing and refining processes.
- Use PDSA (Plan-Do-Study-Act) cycles for process enhancements.
- Implement real-time tracking dashboards for research administration tasks. Use visual management principles.
- Improve communication and handoffs between PIs, finance teams, and various research offices.

Respect for People

- Foster a collaborative research administration culture where staff feel empowered to suggest improvements.
- Engage Principal Investigators (PIs), grant managers, and research administrators in process optimization.
- Inefficient processes are disrespectful to research administrators and to PIs.

Key LEAN Principles

Value Identification

- Define value from the perspective of the customer (researcher teams)
- Identify non-value-added tasks and remove waste

Value Stream / Process Mapping

- Process Map research administration workflows
- Identify bottlenecks and pain points

Eliminate Waste

- Waste is anything not valuable to the customer (compliance withstanding)

Error Proofing

- Create systems that reduce or eliminate human error

Why Lean?

Benefits to Research Administration Teams

1. Increases **researcher engagement**, understanding, and value of RA processes
2. **Establishes trust** and dual accountability through transparency
3. **Triages complaints** and feedback and problems are addressed at the root cause
4. Increases **staff satisfaction** and **workload balance**
5. **Addresses problems at a process level** (not people)

Benefits to Research Enterprise

1. **Accelerates the pace** at which research projects are initiated and complete
2. Enables the institution to **recruit researchers** competitively
3. Makes **feedback actionable** through a culture of systemic problem solving in RA
4. Creates a **responsive RA** that can adjust to changing research landscapes & funding climates
5. Creates an adaptable **RA culture who view the researcher as their customer**

DOWNTIME – Identifying Waste

Defects are the same as errors or rework. Examples: Mis keyed information. Missing components in a proposal submission. Lack of backup for a journal entry.

Overproduction Research systems require so much processing, sometimes too much. Ever pulled date for a report that no one looks at? That's overproduction.

Waiting is the most common waste. Researchers wait, sponsors wait, we wait. Everyone is waiting. Create process with less waiting waste.

Non-utilized talent. If folks aren't tapping into their full potential, they will leave. Full stop.

Transportation An approval passes through HOW MANY HANDS?!? Can a report replace an approval step?

Inventory Can be filing documents in multiple areas when one will do.

Motion Are you looking in six different systems to complete a task? That's motion.

Extra Processing Research institutions are exceptionally good at creating internal controls and responding to regulation. The balance is having a tight system of control without extra or excess processing. Are you entering the same data in multiple systems? This often is a result of outdated institutional requirements no one has questioned in twenty years.

Simple Sabotage Field Manual

Simple Sabotage Field Manual by United States Office of Strategic Services is a historical publication written in the 1940s, amid World War II.

This manual served as a guide for ***ordinary civilians to conduct simple acts of sabotage against enemy operations*** without the need for specialized training or equipment.

(1) Insist on doing everything through "channels." Never permit short-cuts to be taken in order to expedite decisions.

(2) Make "speeches." Talk as frequently as possible and at great length. Illustrate your "points" by long anecdotes and accounts of personal experiences. Never hesitate to make a few appropriate "patriotic" comments.

(3) When possible, refer all matters to committees, for "further study and consideration." Attempt to make the committees as large as possible—never less than five.

(4) Bring up irrelevant issues as frequently as possible.

(5) Haggle over precise wordings of communications, minutes, resolutions.

(6) Refer back to matters decided upon at the last meeting and attempt to re-open the question of the advisability of that decision.

about their work.

(11) Hold conferences when there is more critical work to be done.

(12) Multiply paper work in plausible ways.

Start duplicate files.

(13) Multiply the procedures and clearances involved in issuing instructions, pay checks, and so on. See that three people have to approve everything where one would do.

(14) Apply all regulations to the last letter.

(c) Office Workers

(1) Make mistakes in quantities of material when you are copying orders. Confuse similar names. Use wrong addresses.

(2) Prolong correspondence with government bureaus.

(3) Misfile essential documents.

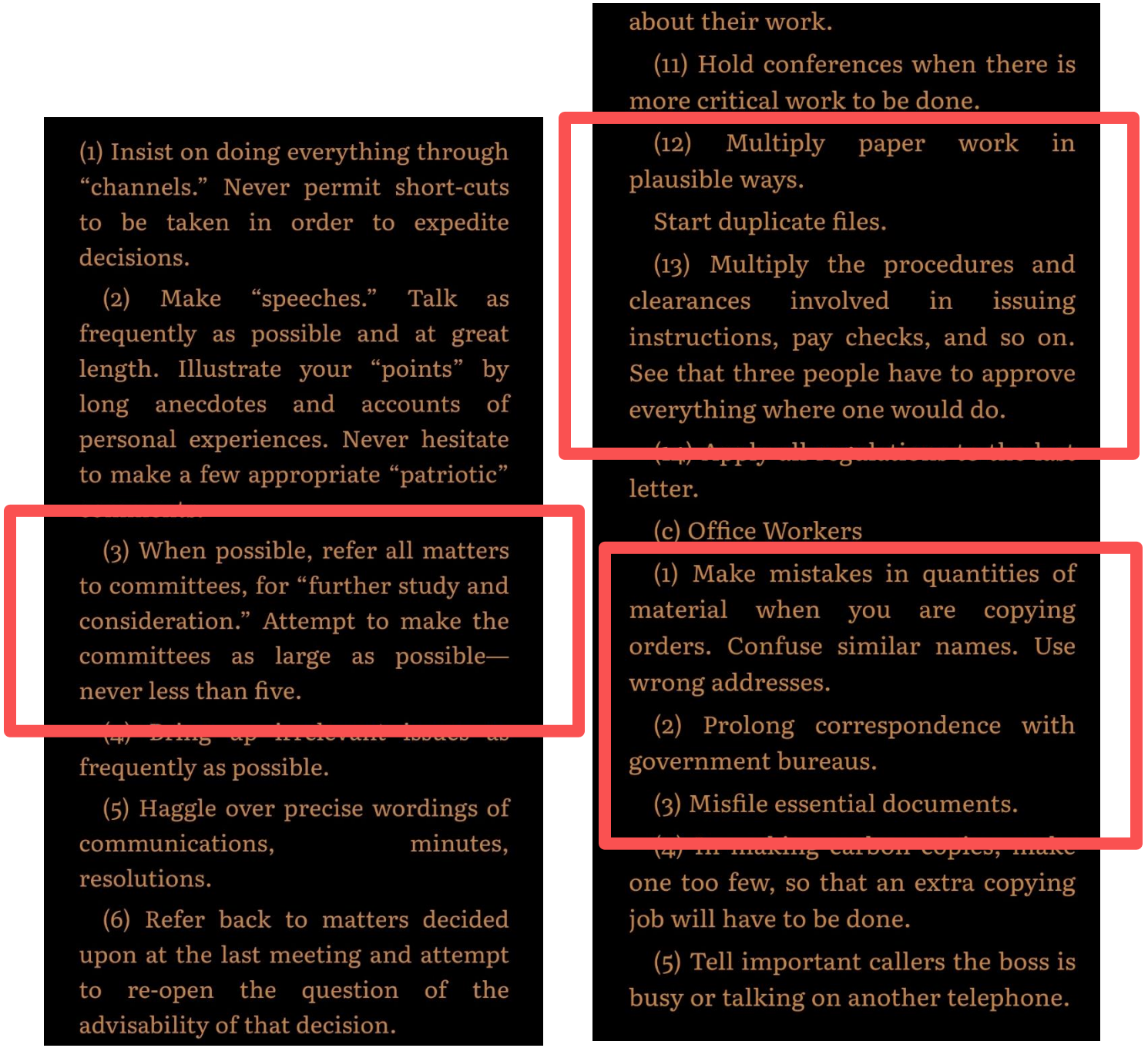
(4) In making carbon copies, make one too few, so that an extra copying job will have to be done.

(5) Tell important callers the boss is busy or talking on another telephone.

Common Inefficiencies

Any of these look familiar?

These are US Office of Strategic Service recommendations for ENEMY SABOTAGE from 1940!



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Activity

Sample RA Processes:
https://docs.google.com/document/d/1dBLkJXnHsg6zmV7kdN6ok3hdK9xAB8VMCATcKumjwjY/edit?usp=sharing

Einstein Priority Matrix

Considerations:

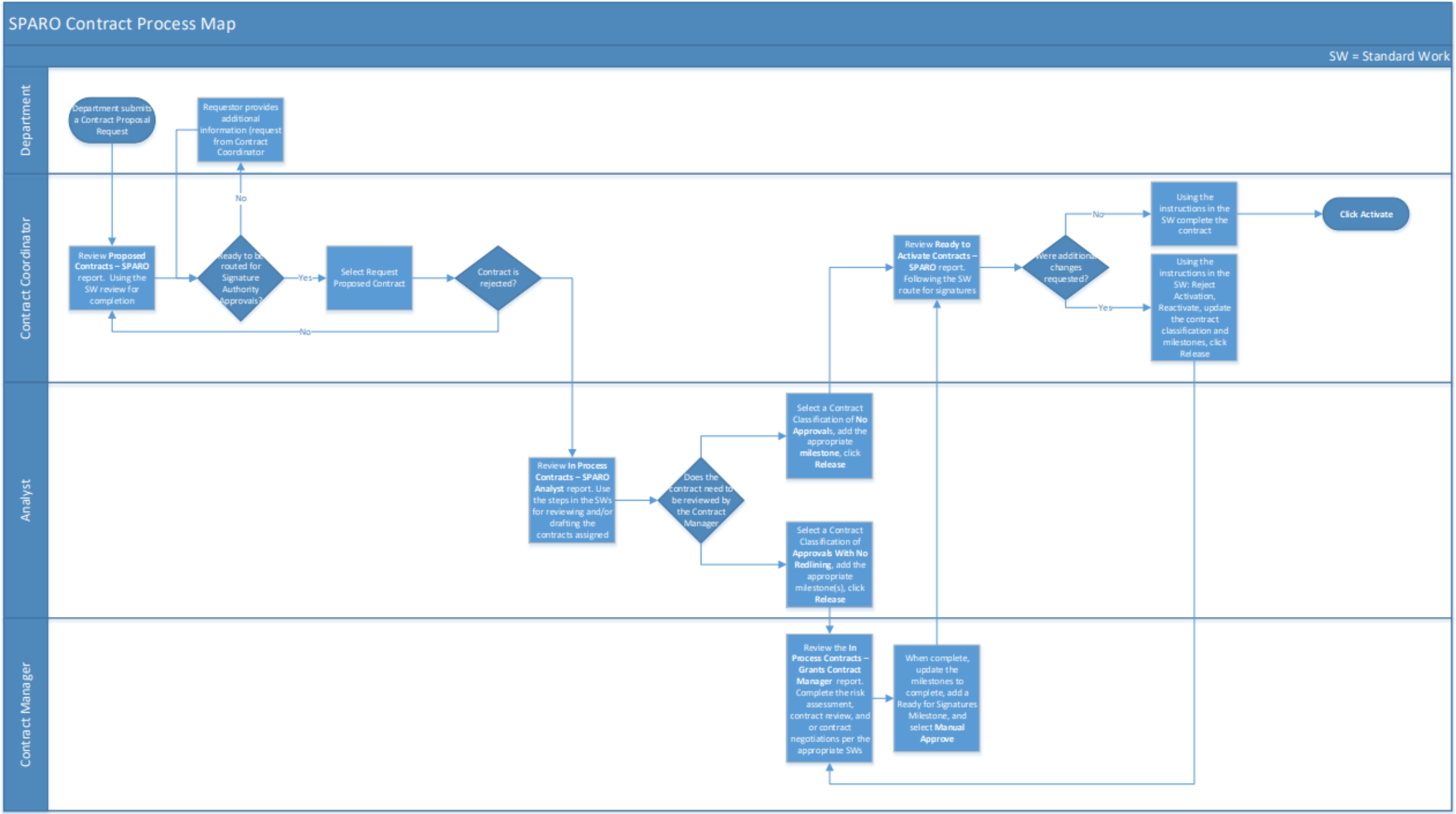
- easiest to change (locus of control),
- low financial or system change requirements,
- least up or downstream impacts on other units,
- greatest customer service and operations

Process Map

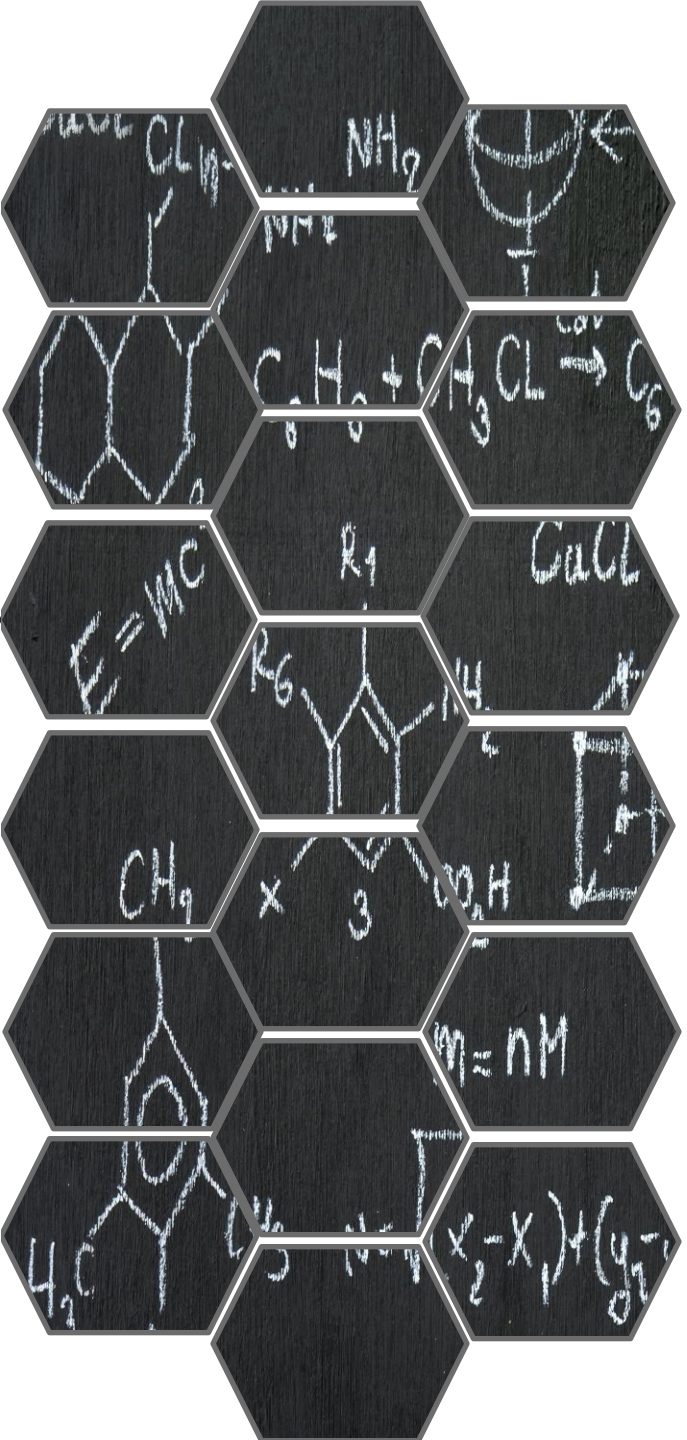
Symbol	Name	Function
	Start/end	An oval represents a start or end point
	Arrows	A line is a connector that shows relationships between the representative shapes
	Process	A rectangle represents a process step
	Decision	A diamond indicates a decision

SPARO Contract Process Map

SW = Standard Work



Identify Waste



RAMP

NSF GRANTED

Addresses systemic barriers within the nation's research enterprise by improving research support and service capacity.

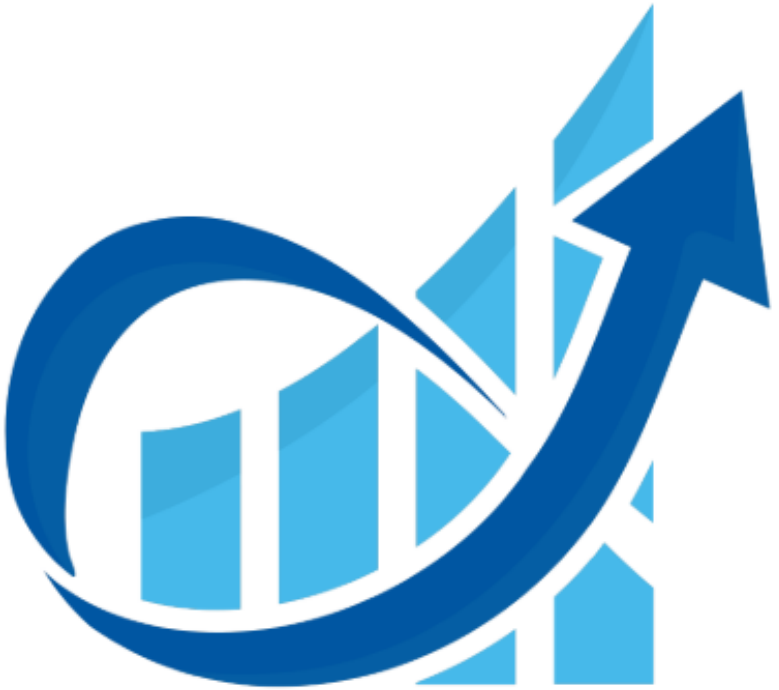
Credit: U.S. National Science Foundation

RAMP

The primary aim of Lean Research Administration Model of Practice (RAMP) is to

- overcome institutional and system obstacles,
- increase process efficiency,
- foster relationships, and
- bolster the workforce

through the application of **Lean methodology to research administration**.



Implementation is poised to **establish a national, scalable model for research enterprises, irrespective of institution type and size.**

NSF Planning Research Award #: 2429089.

Lean RAMP: The Team

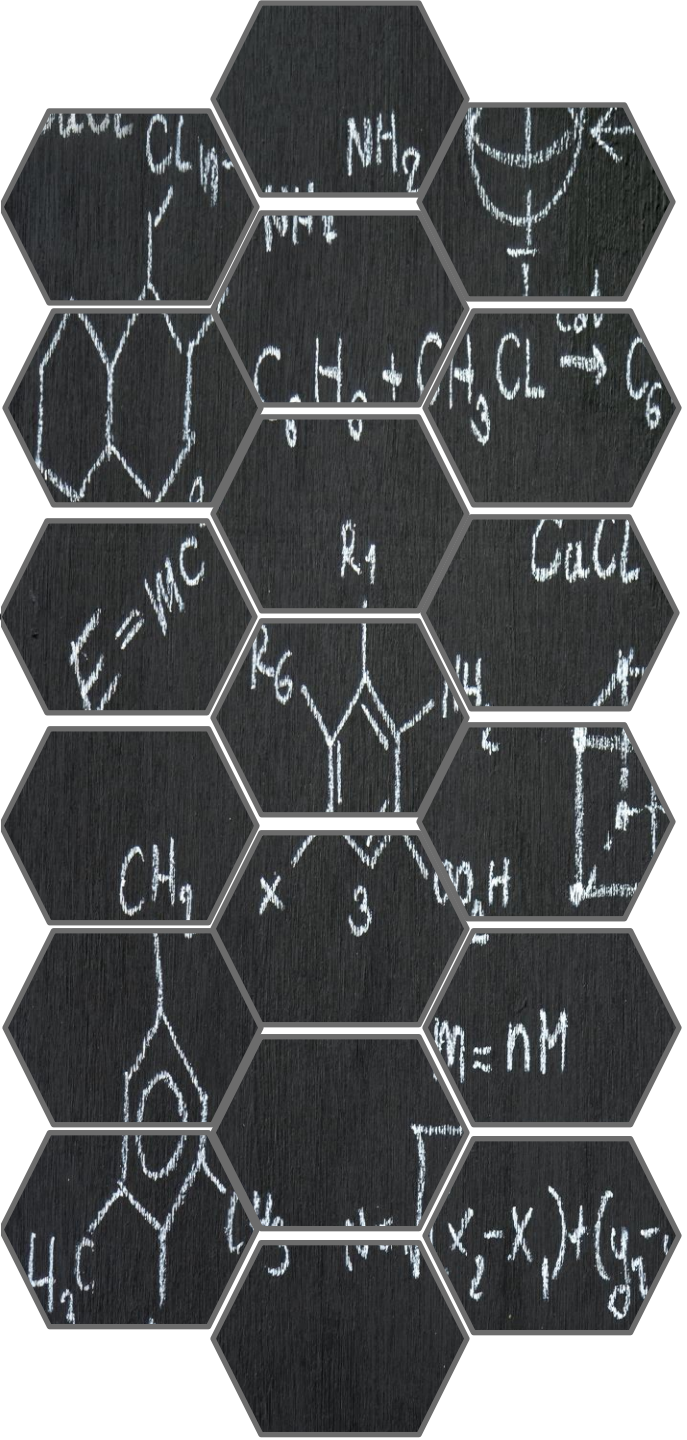
PI: Amanda Breeden, MA, MA, Denver Health

Co-PIs: Nicole Quartiero, MS, Carolina Avendano, Ph.D., Notre Dame; Leah Emerick, MS, CU Anschutz

Internal Evaluator: Laura Podewils, Ph.D., Denver Health

Curriculum Advisor: Lindsay Beaudry, MSW, Denver Health Lean Academy

RAMP Survey



Thank you & Questions