

# Research Administration

## Process Improvement and Training Committees

Changing for Excellence  
Shared Service Centers



# Process Improvement and Training Committees

Process Improvement and Training Committees (PITCs) will redesign the processes to be performed by Shared Service Centers (SSCs).

<b>PITC Responsibilities</b>	<b>PITC Materials To Be Developed</b>
<ul style="list-style-type: none"><li>• Identify and map how processes and activities are currently completed in a cross-sample of departments around campus</li><li>• Identify the challenges and benefits of bringing the activity or process into the SSC</li><li>• Identify ownership of specific process activities in the future state (department, SSC, or central)</li><li>• Identify the tools needed to support the process</li><li>• Identify the staff and customer training needed to change the process</li><li>• Identify any activities that support or augment the process</li><li>• Gather end-user/customer feedback</li></ul>	<p><b>Improved Processes</b></p> <ul style="list-style-type: none"><li>• After evaluating the current state processes, PITCs will look for opportunities to increase efficiency.</li></ul> <p><b>Standard Operating Procedures (SOP)</b></p> <ul style="list-style-type: none"><li>• Developing SOPs will increase awareness of university standards; they will be a resource when common questions arise.</li></ul> <p><b>Training Plans</b></p> <ul style="list-style-type: none"><li>• Committees will identify training opportunities and create a plan for SSC staff to receive helpful and thorough training on systems and procedures.</li></ul>

Research Administration PITCs will lead the transformation of post-award activities. Their work will have a significant impact on the productivity and success of the Shared Service Centers.

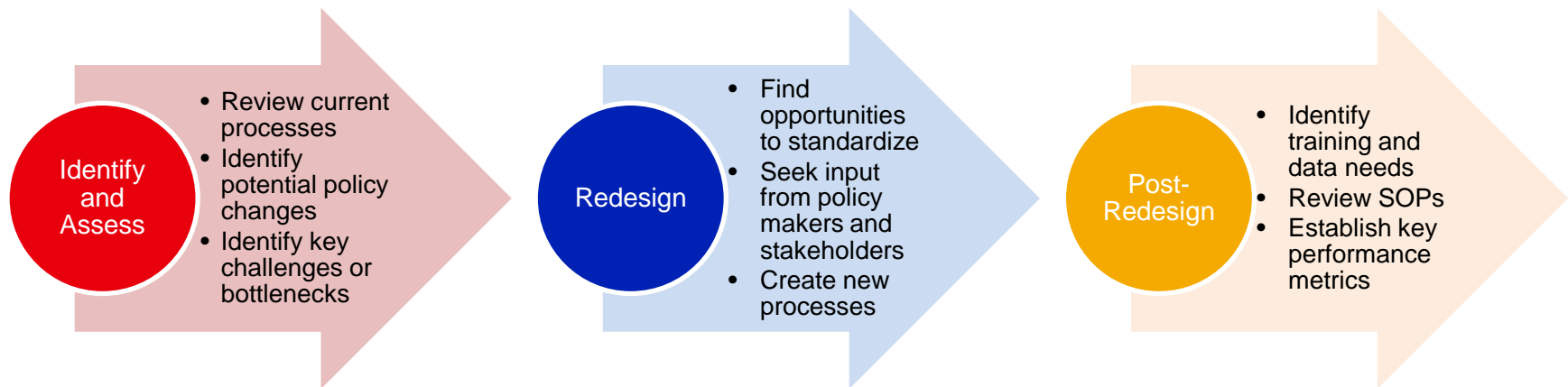
# Process Improvement and Training Committees Activities

Staff on the Research Administration PITCs will meet several times over the coming months to map and refine research administration processes.

**Phase I:** Teams will identify and map current processes and activities and the challenges and benefits of bringing the processes into the SSCs.

**Phase II:** Ownership of each aspect of the redesigned processes (departmental, central, or SSC) will be identified. Groups will also identify workflow, technology changes or other tools needed to optimize the process.

**Phase III:** Teams will develop the training needed to adapt to the new process, and establish the metrics which will measure the success of the processes.



# PITC Membership (1 of 2)

Committee members will meet to discuss which research administration activities should move to the Shared Service Centers.

## Award Modification and Closeout

- Teri Herberger, Associate Director, Center for Research on Learning
- Susan Sloop, Associate Director, Higuchi Biosciences Center
- Pat Kuester, Director, Research and Graduate Studies
- Tracie Watkins, Grant Officer, Research and Graduate Studies
- Gayle Vannicola, Business Manager, School of Journalism

## Cost Transfer

- Angela Richmond, Grant Specialist, Higuchi Biosciences Center
- Elena Semyonova-Smith, Grant Officer, Research and Graduate Studies
- Doug Byers, Assistant Director, Kansas EPSCoR Office
- Beth Knapik, Accountant, Chemistry

## Award Monitoring

- Pat Kuester, Assistant Director, Research and Graduate Studies
- Dana Goble, Business Manager, School of Education
- Faith Gordon, Grant Specialist, Higuchi Biosciences Center
- Suzanne Henderson, Grant Specialist, Life Span Institute
- Kristin Rennells, Business Manager, Physics and Astronomy

# PITC Membership (2 of 2)

Committee members will meet to discuss which research administration activities should move to the Shared Service Centers.

## Cost Sharing

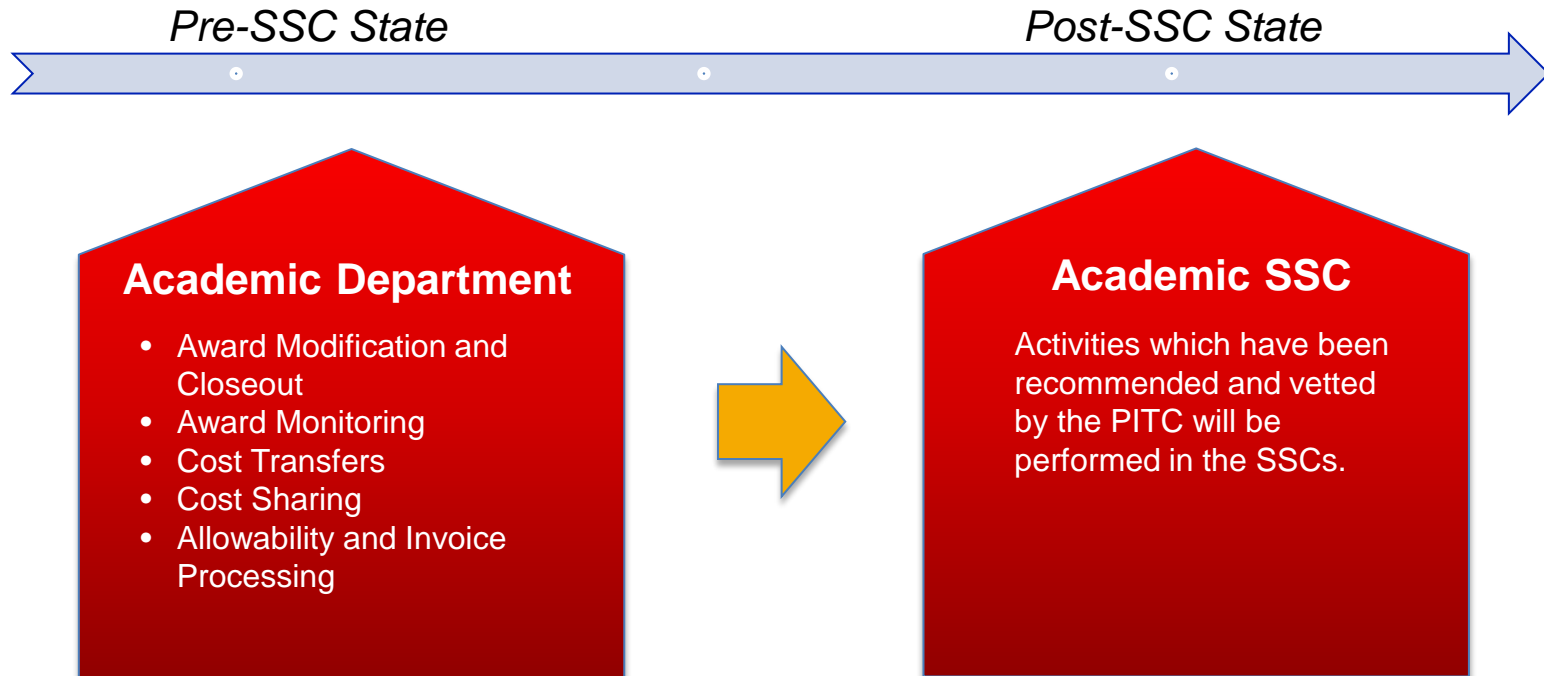
- Kristi Billinger, Director Finance and Administration, Life Span Institute
- Sarah Potter, Manager, School of Social Welfare
- Robin Hinman, Program Assistant, Information and Telecommunication Technology Center
- Donna Goodwin, Accountant, Special Education
- Jama Lickteig, Budget Officer, Psychology

## Allowability and Invoice Processing

- Joanne Altieri, Director, Research and Graduate Studies
- Susan Mercer, Associate Director, Institute for Policy and Social Research
- Mark Reynolds, Assistant Director, Research and Graduate Studies
- Joanne Eden, Grant Officer, Research and Graduate Studies
- Shanna Williams, Accounting, Center for Research and Learning
- Maria Swinger-Inskeep, Accountant, Geology

# Post-Award Activities in Academic SSCs

The PITCs will recommend how post-award activities will shift from the academic departments to the Academic SSCs.



The post-award activities that were performed in the departments will shift to the Shared Service Centers. The PITCs will redesign the process and sub-processes that will move to the SSCs.

# PI Served by Research and Academic SSCs

Academic SSCs will initially provide the services PIs currently receive from departments. Research SSCs will provide expanded services.

<b>Life Span SSC</b>	<b>Technology, Climate &amp; Energy SSC</b>	<b>Education, Journalism &amp; Social Welfare SSC</b>
Juniper Gardens Children's Project	Information & Telecommunication Technology Center	School of Education
Kansas Intellectual and Developmental Disabilities Research Center	Biodiversity Research Institute	School of Journalism
Kansas University Center on Developmental Disabilities	Center for Environmental Beneficial Catalysis	School of Social Welfare
The Research and Training Center on Independent Living	Transportation Research Institute ( Tertiary Oil Recovery Project	Center for Research on Learning
Child Language Doctoral Program	Center for Remote Sensing of Ice Sheets	<b>Business, Engineering &amp; Pharmacy SSC</b>
Beach Center on Disability	KS Biological Survey	School of Business
Gerontology Center	KS Geological Survey	School of Engineering
The Merrill Advanced Studies Center	<b>Biosciences SSC</b>	School of Pharmacy
Work Group for Community Health and Development	Bioengineering Research Center	<b>Liberal Arts &amp; Sciences SSC</b>
Center for Physical Activity and Weight Management	Higuchi Biosciences Center	College of Liberal Arts and Sciences
Biobehavioral Neurosciences in Communication Disorders Center		Hall Center for the Humanities
The Kansas Center for Autism Research		Institute for Policy and Social Research

In contrast to the Academic SSCs, Research SSCs will have an expanded focus, building on the KU models within HBC and LSI. Separate committees will be formed to consider the activities of the Research SSCs.

# Academic SSCs: Pre-Award

The PITCs will focus on post-award activities; KUCR will initially maintain pre-award responsibilities for PIs served by the Academic SSCs.

## Academic SSCs: Pre-Award Activities Will Continue to be Managed by KUCR

- Funding Opportunities
- Limited Submissions
- Proposal Development
- Proposal Institutional Approval and Submission
- Sub-recipient Agreements
- Non-Industry Contracts
- Industry Agreements: Service and Research
- Material Transfer Agreements (MTAs) and Confidential Disclosure Agreements (CDAs)



# Award Modification and Closeout

Effective management of modification and closeout procedures can help KU reduce its compliance risks.

## Processes to be Reviewed by the Process Improvement and Training Committee

- No-cost extension requests
- Budget revisions requiring agency approval
- Closeout (write-offs, equipment reports, patent reports, etc.)

Activities that would streamline modification and closeout procedures will be considered by the PITC.

# Award Monitoring

SSCs have an opportunity to enhance and standardize award monitoring. Standard practices will support and amplify KU's research mission.

## Processes to be Reviewed by the Process Improvement and Training Committee

- Budget balance monitoring
- Generation of monthly financial reports
- Progress report due notifications and monitoring
- Effort reporting (distribution and collection)

Streamlining post-award activities such as monitoring budget balances and progress reports will improve the quality of information provided to PIs.

# Cost Transfers

Improving the cost transfer process will afford increased assurance that transfers are compliant and conducted appropriately.

## Processes to be Reviewed by the Process Improvement and Training Committee

- Cost transfers of four types:
  - Budget category reclassification
  - Retroactive funding adjustments
  - Federal to federal
  - Federal to non-federal

Cost transfers are operationally one of the most difficult and time consuming post-award processes. The PITC will search for opportunities to improve the process and reduce frustration.

# Cost Sharing

This committee will interface with the Payroll PITC to provide input from a research perspective.

## Processes to be Reviewed by the Process Improvement and Training Committee

- Cost share collection, payroll
- Cost share collection, non-payroll

Coordination between the Cost Sharing and Payroll (Financial) PITCs will help develop more unified payroll processes.

# Allowability and Invoice Processing

This committee will interface with the procurement to payment (P2P) project which has been redesigning purchasing at KU.

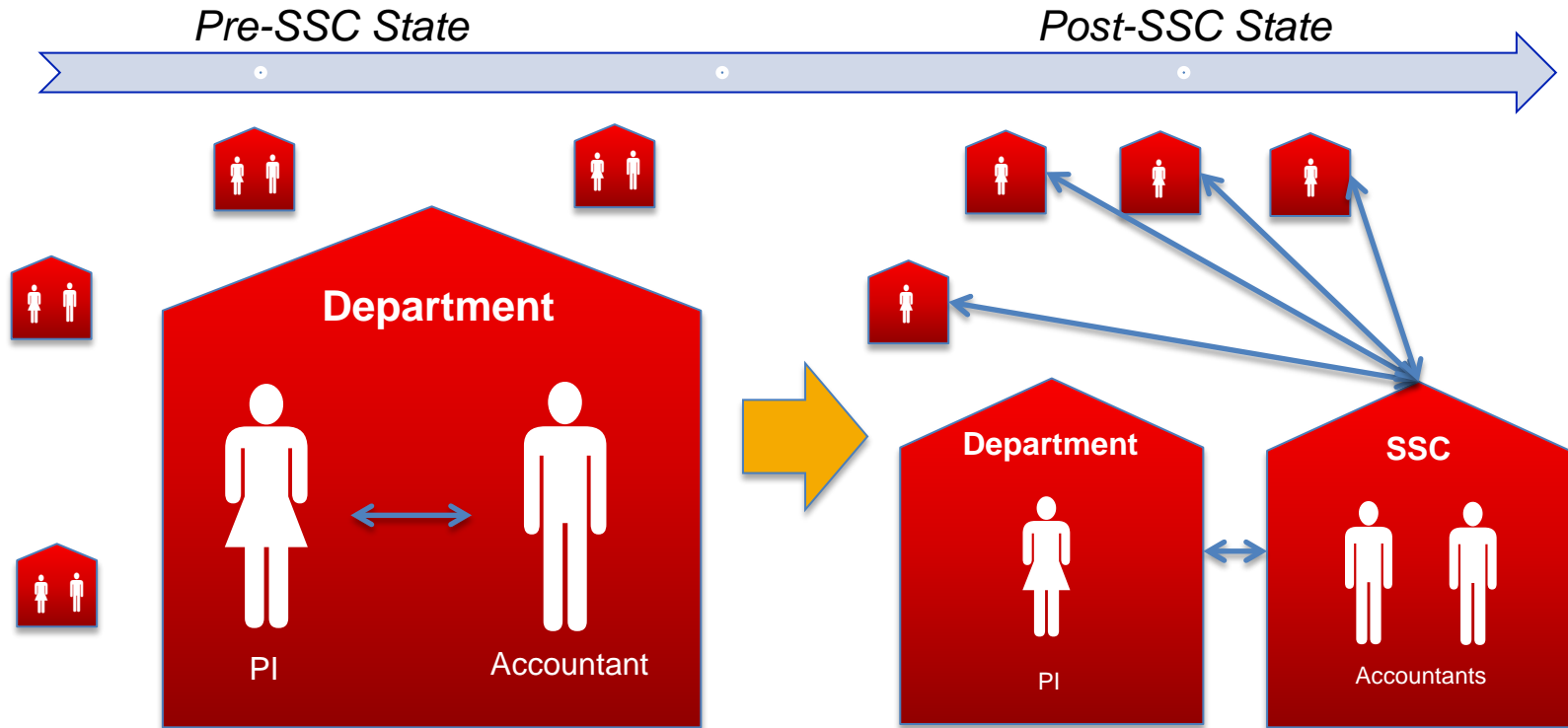
## Processes to be Reviewed by the Process Improvement and Training Committee

- Allowability review
- Subcontract invoice processing

Training will be a critical component of the recommendations made by this PITC.

# Next Steps: Staffing the Academic SSCs

Some staff will transfer from academic units to SSCs and continue serving PIs; LSI and HBC are examples of this model.



Staff relationships with the researchers being served are critical to success; PIs will have a specific individual who will support their research administration needs—these individuals will have back-up.

***Your input is greatly appreciated!***

CFE website

<http://cfe.ku.edu/ssc/>

SSC Office Hours

Every Wednesday, 3:00 pm – 4:00 pm, 213 Strong Hall

SSC Implementation Team

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- Christy Edmonds: [cjed@ku.edu](mailto:cjed@ku.edu)
- Megan Cluver: [megancluver@ku.edu](mailto:megancluver@ku.edu)
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