Sub-Award Process Improvement workshop output

05/27
Sub-award process data (1)

- **Average T2C in days**
  - FYE 2011: 37
  - FYE 2012: 33
  - FYE 2013: 51
  - FYE 2014: 62
  - FYE 2015 (03/20): 49

- **Upswing in from 2012 on:**
  - OE reorganized sub award analyst responsibilities
  - Change in process: more scrutiny on COI required
  - FFATA impact?

- **Target for improvement is to return to 2012 performance with no additional FTE**
Sub-award process data (2)

Subaward Request vs. T2C (by Fiscal Year)

- **FYE 2010**
- **FYE 2011**
- **FYE 2012**
- **FYE 2013**
- **FYE 2014**
- **FYE 2015 (04/01)**

- **Average T2C**
- **Average T2C**
- **Subaward requests received at C&G New Subawards Requested**

Chart showing the comparison between subaward requests and T2C over the years from FYE 2010 to FYE 2015 (04/01).
High Level Process & Gaps

Create request (R)

Review Project Compliance (PC)

Review Institutional Compliance (IC)

Draft Sub award (D)

Negotiate (N)

Execute (E) & Finalize (F)

• “Hands on” Request processing time is ~ 8 hrs, for a 60 day total turnaround time:
  – Most time is spent waiting for info or to get out of a queue

• Major causes for waiting and queuing:
  1. Low quality of intake documentation
  2. Confusing R&R between department and RMS on budget development
  3. Compliance is too late in the process
  4. Manual process: too many hands off, emails, double entries, printing, scanning
  5. Same track for all types of awards (new, NCEs, MCAs)
Improvement strategy

1. STRATEGY to lower FTE/transaction and reduce T2C:
   1. Improve process – update intake forms and move compliance up
   2. Optimize resources – fast track and give higher autonomy
   3. Develop performance dashboard – track cost, quality and speed
   4. Implement new technology – automate and simplify

Current State

Future State

Award start
JIT
NOA
Sub award start
Sub award final

IC
PC
R
D
E
E & F
R
PC
IC
D
N
E & F
Process improvement

1. Finalize SRF form 2.0, commitment form 1.0 and Non-NIH budget template and prototype them
   - SRF form: mock run, iterate design, live run with 1 RMS team (Team C proposed)
   - Commitment: mock run, iterate design, live run with 1 RMS team (Team C proposed) and sub-recipients
   - Budget template: mock run, iterate design, live run with 1 RMS team (Team C proposed) and sub-recipients

2. Deploy new intake process
   - Document new intake process – clarify R&R, highlight description of changes compared to current process, clearly lay out what is expected from RMS team, PI and Dpt
   - Write communication plan and inform impacted stakeholders
   - Pilot new intake process with new forms & templates with Team I and/or Team E for 3 months

3. Assess pilot results
   - Review results & metrics from pilot
   - Iterate on process design

4. Roll out to all teams
Resource Optimization

1. **Develop dedicated & fast track resource model**
   - Assess feasibility and assign 1 FTE on FFATA, triage
   - Assess feasibility and 1 FTE Fast Track on NCEs & MCAS
   - Run Amendment dedicated resource model pilot for 3 months in parallel with intake process pilot
   - Assess metrics and iterate or drop dedicated model

2. **Deploy certification levels for sub-award analyst**
   - Develop new levels with the objective of forming personnel with sign off rights on 1) amendments and 2) more complex awards like international, non profits
   - Train selected analysts
   - Implement new certification levels
1. Develop data collection process (operational definition, source, ownership of data) for:
   - Cost metrics:
     • #NCE, MCA, new sub-award per FTE
   - Quality metrics:
     • Implement customer interview to define quality metrics
   - Speed metrics:
     • NOA to sub-award issuance
     • Prime Award set up to SRF request
     • SRF request to subaward issuance
     • Issuance to partially executed
     • Partially executed to fully executed

2. Implement dashboard
TECHNOLOGY

1. **Implement short-term "wins"**
   - Integrate Sponsor table from e-proposal into subaward module in RAS
   - Develop Webpage for sub-recipients which includes all repository forms to support deployment of intake process

2. **Deploy Docusign for execution of subaward**
   - Test with 1 subaward analyst and 1 RSC team member
   - Iterate as necessary and deploy to all of subaward analysts and RMS teams

3. **Deploy electronic knowledge and documentation management system**
   - Assess available options: CACTAS, RAS, EPROPOSAL, INHOUSE IMAGING, Others?
   - Criteria includes transparency, easy reporting, possibility of pre-populating SRF and Award forms/templates

4. **Implement Web based electronic subaward request form**
   - depends on intake pilot results and technology assessment.
High level timing

1. Pilot new process on and resource optimization models on 2 selected teams from 07/13 to 10/09
2. Iterate on models as needed
3. Communicate and train team on new models Nov-Dec 2015
4. Deploy new process and resource models by Jan 2016