Agenda

Updates & Timely Information from Research Support:

- Office of the VCR
- RSC
- IRB
- IACUC
- HIPAA
- UAMS Library
- BioVentures
- Cost/Grants Accounting
- COI
- ORSP
- ORC
- DLAM
- OGSP
- CCTR/Core Facilities
- Medical Informatics

11/19/2013
PMS or How We Get Our Money!

- Pooled versus Subaccounts
  - Pooled = lump sum
  - Subaccounts = per award

- Timeline
  - New awards--now
  - Current awards--starting 10/1/14
How does the change effect an active grant?

- Change in document number
- Reporting
- Carry forward
**Payment Management System (PMS) Changes** Janet Hopper, Director, Grants Accounting

**Accommodating Transition of Domestic Awards to PMS Subaccounts:** Changes to Continuing Awards in FY15

<table>
<thead>
<tr>
<th>FY</th>
<th>Award Record</th>
<th>Budget Period End Date</th>
<th>Project Period End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>13</td>
<td>1R01CA123456-01</td>
<td>7-31-14</td>
<td>7-31-18</td>
</tr>
<tr>
<td>14</td>
<td>5R01CA123456-02</td>
<td>7-31-15</td>
<td>7-31-18</td>
</tr>
<tr>
<td>15</td>
<td>4R01CA123456-03</td>
<td>7-31-16</td>
<td>7-31-18</td>
</tr>
<tr>
<td>16</td>
<td>5R01CA123456-04</td>
<td>7-31-17</td>
<td>7-31-18</td>
</tr>
<tr>
<td>17</td>
<td>5R01CA123456-05</td>
<td>7-31-18</td>
<td>7-31-18</td>
</tr>
</tbody>
</table>

- Paid via PMS “G” (pooled) accounts.
- Paid through PMS using “P” subaccount, which requires cash quarterly report.

Progress report submitted and reviewed as a type 5. At time of release of the FY15 award, system converts the type 5 to a **type 4** and increases document number.

Closeout of original competitive segment (years 1-5) within 90 days after end of the last budget period.

When the FY15 year award is issued, the project period end date is changed to match budget period end date. This makes the FFR expenditure data for this year the final FFR expenditure data and allows NIH to close the accounting record in the old system. Final Invention Statement and Final Progress Report not required at this time.

Note: Fellowships do not require FFR expenditure data reporting.
Stimulating Collaborations?  

- Verb: *excite; provoke*
  - arouse, build a fire under, embolden, encourage, enliven, egg on, fire up, inspire, jazz, juice, key up, enliven, exhilarate, foment, foster, galvanize, goad, grab, hook, impel, incite, inflame, innervate, instigate, motivate, move, perk, prod, prompt, quicken, send, spark, spirit, spur, stimulate, stir up, support, urge, vitalize, vivify, wake up, whet, work into a lather

- Verb: *start a function or action; motivate*
  - activate, animate, call up, cheer, drive, energize, get one started, impel, mobilize, prompt, propel, rouse, start, stir, switch on, take out of mothballs, trigger

- Verb: *initiate; accelerate*
  - advance, drive, dust, expedite, forward, further, gun, hammer on, hasten, hurry, impel, make tracks, nail it, peel rubber, precipitate, propel, put on afterburners, quicken, railroad, speed up, spur, step on gas, step up

(Roget's 21st Century Thesaurus, 3rd Edition Copyright © 2013 by the Philip Lief Group.)
Stimulating Collaborations

Stimulating Collaborations?

- **Verb: excite; provoke**
  - arouse, build a fire under, embolden, encourage, enliven, egg on, fire up, inspire, jazz, juice, key up, enliven, exhilarate, foment, foster, galvanize, goad, grab, hook, impel, incite, inflame, innervate, instigate, motivate, move, perk, prod, prompt, quicken, send, spark, spirit, spur, stimulate, stir up, support, urge, vitalize, vivify, wake up, whet, work into a lather

- **Verb: start a function or action; motivate**
  - activate, animate, call up, cheer, drive, energize, get one started, impel, mobilize, prompt, propel, rouse, start, stir, switch on, take out of mothballs, trigger

- **Verb: initiate; accelerate**
  - advance, drive, dust, expedite, forward, further, gun, hammer on, hasten, hurry, impel, make tracks, nail it, peel rubber, precipitate, propel, put on afterburners, quicken, railroad, speed up, spur, step on gas, step up,

(Roget's 21st Century Thesaurus, 3rd Edition Copyright © 2013 by the Philip Lief Group.)
Stimulating Collaborations?  

- **Verb: excite; provoke**
  - arouse, build a fire under, embolden, encourage, enliven, **egg on**, fire up, inspire, jazz, juice, key up, enliven, exhilarate, foment, foster, galvanize, goad, grab, hook, impel, incite, inflame, innervate, instigate, motivate, move, perk, prod, prompt, quicken, send, **spark**, spirit, spur, stimulate, stir up, support, urge, vitalize, **vivify**, wake up, whet, work into a lather

- **Verb: start a function or action; motivate**
  - activate, animate, call up, cheer, drive, **energize**, get one started, impel, mobilize, **prompt**, propel, rouse, start, stir, switch on, take out of mothballs, trigger

- **Verb: initiate; accelerate**
  - advance, drive, dust, expedite, forward, further, gun, hammer on, hasten, hurry, impel, make tracks, nail it, peel rubber, precipitate, propel, put on afterburners, quicken, railroad, speed up, spur, step on gas, step up,

*(Roget's 21st Century Thesaurus, 3rd Edition Copyright © 2013 by the Philip Lief Group.)*
Stimulating Collaborations?

Verb: *excite; provoke*
- arouse, build a fire under, embolden, encourage, enliven, *egg on*, fire up, inspire, jazz, juice, key up, enliven, exhilarate, foment, foster, galvanize, goad, grab, hook, impel, incite, inflame, innervate, instigate, motivate, move, perk, prod, prompt, quicken, send, *spark*, spirit, spur, stimulate, stir up, support, urge, vitalize, *vivify*, wake up, whet, work into a lather

Verb: *start a function or action; motivate*
- activate, animate, call up, cheer, drive, energize, get one started, impel, mobilize, prompt, propel, rouse, start, stir, switch on, *take out of mothballs*, trigger

Verb: *initiate; accelerate*
- advance, drive, dust, expedite, forward, further, gun, hammer, hasten, hurry, impel, make tracks, nail it, peel rubber, *precipitate*, propel, *put on afterburners*, quicken, railroad, speed up, spur, step on gas, step up

(Roget's 21st Century Thesaurus, 3rd Edition Copyright © 2013 by the Philip Lief Group.)
Showcase of Medical Discoveries
(Increase visibility/collaboration between UAMS faculty, acquaint targeted donors with research)

Subject Areas
- Cardiovascular (November 2012)
- Nanomedicine (February 2013)
- Bone Health (June 2013)
- Personalized Medicine (September 2013)
- Substance Abuse (December 5, 2013; 4-5:30 p.m.)

Successful – ↑ research visibility and ↑ donor $
Stimulating Research Collaborations  Linda Williams, Research Liaison, College of Medicine

- Additional Efforts
  - Increase research collaborations with UA and the NW campus
    - Recent poster event tied to the ABI annual meeting
      - Visiting UARK faculty paired with complementary UAMS faculty
    - Plans for a similar event in Fayetteville early next year
  - UAMS EPSCoR Activity
NIH Changes as a Result of the Government Shutdown

Suzanne Alstadt, Director, ORSP

Kandinsky’s Composition VI – The Deluge
NIH Changes as a Result of the Government Shutdown
Suzanne Alstadt, Director, ORSP

“Refreshed” Applications

1. If you receive notification from NIH that your application has been reassigned to a new study section *(which will be sent by the end of the week of November 4)*, respond to my email ASAP to let us know your intention.

2. Submit a withdrawal letter to your ORSP Administrator by **Wednesday, November 13** following the guidelines in this link [http://nexus.od.nih.gov/all/2011/06/30/how-do-i-withdraw-my-application/](http://nexus.od.nih.gov/all/2011/06/30/how-do-i-withdraw-my-application/)

3. For most of you, the parent announcement you used with your original application will have expired. If so, you will be required to complete a new set of form pages. Click this link to view the current [parent announcement](http://nexus.od.nih.gov/all/2011/06/30/how-do-i-withdraw-my-application/)
NIH Changes as a Result of the Government Shutdown
Suzanne Alstadt, Director, ORSP

“Refreshed” Applications (Continued)

4. Because these will be revised proposals, they will need to be reviewed and approved by your division, department, and college signatories before being submitted by ORSP. Thus, you will need to submit a *Revision* of your proposal through ARIA.

5. Applicants should designate 'Changed/Corrected Application' as the Type of Submission on the SF424 R&R cover form of their refreshed applications.

6. We will follow the UAMS policy on application submission. The draft application will be due in ARIA by Monday, December 2. The final will be due Monday, December 9.
November Grant Application Due Dates

November, 2013 grant application due dates will not be extended.

NIH’s Loan Repayment Program due dates have been extended from November 15 to December 2, 2013.
NIH Changes as a Result of the Government Shutdown
Suzanne Alstadt, Director, ORSP

Questions?

http://grants.nih.gov/grants/2013_shutdown_faqs.htm#3859
What is Performance Excellence?

“...UAMS performance improvement initiative aimed at enhancing efficiencies and fiscal sustainability.”

“Over the next two years, the goal is to achieve a $36 million improvement to UAMS’ bottom line through a combination of revenue enhancements and cost reductions.”

In brief, it encompasses targeted change in multiple value streams.
Performance Excellence for Research  Tom Wells, M.D., Director, Research Support Center

**VISION:**
Performance Excellence will create a scalable problem solving method that enables an extraordinary patient, employee and student experience built upon excellence in clinical performance, health professions education and research.

**GOALS:**
1. Improve the patient, student and employee experience.
2. In-source new problem solving competencies across the organization by developing full time Performance Excellence leaders in 1 year.
3. Deliver $36 million in financial benefits in first 2 years.
Value Stream Defined

- A value stream is an end-to-end process which includes all activities required to design, produce and provide a specific good or service for the customer.
- Within a value stream, the process steps along the way may both use and produce intermediate goods, services and information to reach that primary end customer.
- A University Hospital system is comprised of dozens of value streams within the hospital, university, research and administration functions.
End to End Value Stream Assessment

What is it?
- Structured approach for evaluating an entire process or value stream from start to finish
- Document where the processes may be broken or opportunities occur

Benefits?
- Gain inputs from associates who know the process
- Allows team to see the entire process rather than a mix of unrelated opportunities
- It is visual and helps communicate to the organization
- It helps the team to assign relative priority to each opportunity
How does this apply to research?

- Initial project: to identify the value stream for clinical trials involving drugs and devices
- Develop projects, defined by charters, that will look at various components of the value stream in an effort to identify opportunities for performance improvement
Performance Excellence for Research  Tom Wells, M.D., Director, Research Support Center

Value Stream Assessment – Research Process
Macro Map: Human Subject Research Process: Biomedical Research for Drugs & Devices

- Create Protocol
- Develop Package
- Review the Package
- Conduct Study
- Analyze & Publish
- Close Study

- Created
- Submitted
- Approved

- Individual Investigator: Start here
- Industry & Coop: Start here

- Create Pkg. in CLARA
- Create Budget
- Budget Legal Coverage
- Hospital, Dept., College
- IRB Review

Scientific Review Committees

11/19/2013
SIPOC* Map

*SIPOC = Suppliers, Inputs, Process, Outputs, Customers

Monday

Wednesday

11/19/2013
Swim Lane Process Map
Performance Excellence for Research
Tom Wells, M.D., Director, Research Support Center

Project Ideas

- Team multi-voting was used to prioritize the list.

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Primary Metric</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>reduce the elapsed time it takes to create a budget for an industry protocol prior to submission.</td>
</tr>
<tr>
<td>2</td>
<td>reduce the elapsed time it takes to create a budget for Investigator Initiated Research.</td>
</tr>
<tr>
<td>3</td>
<td>reduce the number of times we have to go back to the PI for signoffs in the review process.</td>
</tr>
<tr>
<td>4</td>
<td>ensure invoicing and collections are complete.</td>
</tr>
<tr>
<td>5</td>
<td>reduce the time spent on legal review and negotiation.</td>
</tr>
<tr>
<td>6</td>
<td>Need VSA and project identification for open to close.</td>
</tr>
<tr>
<td>7</td>
<td>Reduce the # of revisions in the (eg changes in title of submission)</td>
</tr>
</tbody>
</table>

The top vote getters formed 3 kaizen project themes.

Ideas were captured and refined.
**Performance Excellence for Research**

**Tom Wells, M.D., Director, Research Support Center**

### Charters

<table>
<thead>
<tr>
<th>#</th>
<th>No.</th>
<th>Project Title</th>
<th>Primary Metric</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>7</td>
<td>Reduce the workload on budget after submission.</td>
<td># of reworks / submission</td>
</tr>
<tr>
<td>2</td>
<td>6</td>
<td>Reduce the elapsed time for budget and coverage review.</td>
<td>elapsed time</td>
</tr>
<tr>
<td>3</td>
<td>5</td>
<td>Reduce the elapsed time it takes to create a budget for an industry protocol prior to submission.</td>
<td>elapsed time (accept to submit)</td>
</tr>
<tr>
<td>4</td>
<td>4</td>
<td>Create a process mgmt system with dashboards (metrics) showing status of Packages in Progress.</td>
<td>elapsed time (access to open)</td>
</tr>
<tr>
<td>5</td>
<td>3</td>
<td>Reduce the number of times we have to go back to the PI for signoffs in the review process.</td>
<td># of reworks / submission</td>
</tr>
<tr>
<td>6</td>
<td>2</td>
<td>Need a way to get training to the PI early for how to navigate the process.</td>
<td>increase # of open</td>
</tr>
</tbody>
</table>

**Charters were drafted for the top 3**

---

**Budget**

**Waterfall**

**Dashboard**
# Performance Excellence for Research

**Tom Wells, M.D., Director, Research Support Center**

## Project Charter

<table>
<thead>
<tr>
<th>Project Name:</th>
<th>Waterfall</th>
</tr>
</thead>
<tbody>
<tr>
<td>Link to Strategy:</td>
<td>Performance excellence goals</td>
</tr>
</tbody>
</table>

### Problem / Opportunity Statement:
Reduce elapsed time and eliminate overprocessing by decreasing the number of electronic signatures and/or reviews by Hospital, College, Department, and the Principal Investigator in CLARA. The current impact of this is a delay in getting studies to the IRB.

### Objective Statement:
Reduce elapsed time from submission to approved from X days to Y days by Z date.

### Metrics:

**Primary:**
- A) reduction of elapsed time from submission to approved
- B) reduction of elapsed time from coverage approval through College approval
- C) Reduce overprocessing by PI (number of times sign-offs required throughout process)

**Financial:**

**Consequential:**

### Scope:

**In:** CLARA review process

**Out:** Budget development, review, and approval

### Team

**Champion:** Dr. Larry Cornett

**Project Leader:**

**Financial Rep.:**

**Team Members:** Lead CLARA developer, IRB, PI College/Department, Hospital, Study Coordinators, Regulatory (Cancer/ non-cancer)

### Timeline:

**Estimated Start Date:** 11/25/2013

**Estimated Duration:** TBD
Three Projects Selected

1. **BUDGET**: Reduce throughput time for budget development through coverage review
2. **WATERFALL**: Reduce throughput time by re-evaluating the need for signoffs in the approval process
3. **DASHBOARD**: Create a dashboard to monitor clinical research from idea development through study closeout and financial reconciliation
Performance Excellence for Research  
Tom Wells, M.D., Director, Research Support Center

- Value Stream Assessment Team Members

Alexandra Annis  
Clint Kilts  
Cindy Witkowski  
Kathryn Henning  
Laura Hutchins  
Laura Wilson  
Lisa Jackson  
Sarah Wood  
Shawna Owens  
Shirley Gray  
Tom Wells  
Kevin Kelleher – BMGI  
Tom Jones – BMGI  
Dr. Larry Cornett - sponsor

11/19/2013
MOU: Animal Use between UAMS and the VA

Mildred Randolph, DVM, Director, Dept. Laboratory Animal Medicine

- Collaborations between the VA and UAMS
  - Involving Animal Models of Research
The 8th Edition of the “Guide” States

“Collaborating institutions should have a formal, written understanding addressing responsibility for animal care, ownership, IACUC review and oversight.”
Memorandum of Understanding

- Between the VA and UAMS
- Involving any live vertebrate animal
- Involving transportation between institutions to fulfill various parts of the study
- Approved protocols will be exchanged between institutions
MOU: Animal Use between UAMS and the VA

Mildred Randolph, DVM, Director, Dept. Laboratory Animal Medicine

Memorandum of Understanding (cont.)

- IACUCs in the location where the animals are primarily housed will approve the protocols.
- Any protocol funded by the VA must be reviewed by the IACUC at the VA.
- Each institution must maintain AAALAC International Accreditation.
Memorandum of Understanding (cont.)

- OHS program enrollment will be shared between institutions
- Training records will be shared between institutions
- Deficiencies, noncompliance, or adverse events committed by the collaborating PIs or their staff will be shared between institutions
Next RESIN

- **December 3, 2012 @ 12:00 p.m.**
- **Location** - Walton Auditorium, Winthrop P. Rockefeller Cancer Institute, 10th floor
- All RESIN presentations archived on the UAMS Research website
  - [http://www.uams.edu/research/RESIN_Achive.asp](http://www.uams.edu/research/RESIN_Achive.asp)