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**UIC RESOURCE STRATEGY
TEAM REPORT**

PREPARED FOR CHANCELLOR MICHAEL AMIRIDIS



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EXECUTIVE SUMMARY

The University of Illinois at Chicago (UIC) is a vibrant Carnegie Classification Research One (R1) university set in one of the most exciting cities in the world. Its diverse student body and highly regarded faculty are supported by administrative and program staff that carry out the day-to-day activities of a large enterprise. As in many complex organizations, the systems and structures that develop over many years can either facilitate or impede the effectiveness of how decisions are made, resources are distributed and utilized, and desired outcomes achieved. While UIC is both blessed and burdened with characteristics of a typical bureaucracy, it seems to be the case that there are too many systems and structures at UIC that are not functioning at an optimal level to best serve the university community to pursue its education, research and service missions.

These conditions exist at a time in history when the State of Illinois, over a period of several years, has been pulling back from its responsibilities to fund public higher education. As a result, it is increasingly challenging to fund the activities of a large, vibrant research university. In addition, constraint in net revenue growth, an increasingly complex regulatory environment, increasing constituent needs, and emerging competitive modes of education all point to a difficult fiscal environment.

This moment provides the opportunity to transform practices and policies of the University to address suboptimal structures and systems and challenging fiscal conditions by taking steps that 1) improve UIC's internal operations and 2) identify opportunities for cost savings, optimal resource allocation, and entrepreneurial revenue generation. This report is a contribution to those efforts.

Improving UIC operations can yield multiple benefits, not the least of which is improving business services while improving the satisfaction and productivity of faculty, staff, students, and constituents who use such services. Tackling resource allocation in a sensible manner can yield cost reductions with less impact on the academic mission of the university while still allowing possibilities for growth and vibrancy that are in line with the stated goal to "remain the premier urban-serving public research university in the United States."¹

On September 28, 2015, Chancellor Michael Amiridis appointed the UIC Resource Strategy Team, co-chaired by Teresa Córdova, Director of UIC's Great Cities Institute, and Steve Everett, Dean of the College of Architecture, Design and the Arts, to provide counsel and advice regarding various resource issues facing the University of Illinois at Chicago. (See Appendix A.)

¹ <http://news.uic.edu/chancellor-highlights-campus-priorities-to-civic-leaders>

The Committee was asked to:

- Review and propose opportunities for service provision changes that will result in cost savings and administrative streamlining. Examine best practices and other university strategies that have worked
- Review and recommend an organizational structure for centers and institutes
- Review and recommend improvements in the business support model and related operations
- Develop recommendations for related resource issues facing the campus
- Provide suggestions for business model innovations

On October 21, the Chancellor met with the Committee and delivered its charge, asking the committee to look critically at all UIC operations, to see where there are unnecessary duplications, to ask what are the things we do that we shouldn't, what are the things that cripple our mission, and what might improve financial and administrative processes. The charge of the committee was to "identify problematic areas" and come up with practical suggestions of how we can address these issues.

To that end, the UIC Resource Strategy Team (RST), has in this report, identified areas of university operations that could a) operate more efficiently and save administrative time, b) create cost savings, c) present opportunities for the generation of new revenue, and d) provide a more ideal learning and research environment reducing unnecessary administrative burdens on faculty, staff, and students. Though this report is not exhaustive, it does advance the goal to identify issues and solutions to improve practices and policies that affect UIC operations.

This report contains a series of recommendations organized in categories consistent with the Subcommittees: Human Resources (HR); Business Processes; Research Administration; Centers and Institutes; and Strategic Resources. In addition to the narrative for the recommendations, this report also includes a summary table of the recommendations by categories described above and examples of these recommendations related to Centers and Institutes.

Recommendations fall into three major categories: overall philosophy and principles (e.g. the primacy of UIC's academic mission); recommendations that can be implemented easily and immediately; and recommendations that require further information and analysis.

To assist Chancellor Amiridis in the full consideration of these recommendations, the Team recommends that the Chancellor establish a **Process Improvement Unit**, whose focus would be the consideration and implementation of the recommendations contained in this report. This unit should be collaborative, transparent and data driven.

The Chancellor's Resource Strategy Team offers this report as advice to the Chancellor and his leadership team, with the assumption that improving UIC operations and use of resources will advance the worthy aspiration of guiding the UIC community to even greater heights.

This May 2016 report is the first round effort to convey the extent of the Team's considerations. A final version of this report will be delivered to Chancellor Amiridis by mid-August. The conversations were rich, detailed and held with a genuine regard for how to improve the functioning of UIC in a way that enhances its academic mission.

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INTRODUCTION

BACKGROUND

The University of Illinois at Chicago (UIC) is a vibrant Carnegie Classification Research One (R1) university set in one of the most exciting cities in the world. Its diverse student body and highly regarded faculty are supported by administrative and program staff that carry out the day-to-day activities of a large enterprise. As in many complex organizations, the systems and structures that develop over many years can either facilitate or impede the effectiveness of how decisions are made, resources are distributed and utilized, and desired outcomes achieved. While UIC is both blessed and burdened with characteristics of a typical bureaucracy, it seems to be the case that there are too many systems and structures at UIC that are not functioning at an optimal level to best serve the university community to pursue its education, research and service missions.

These conditions exist at a time in history when the State of Illinois, over a period of several years, has been pulling back from its responsibilities to fund public higher education. As a result, it is increasingly challenging to fund the activities of this large, vibrant research university. In addition, constraint in net revenue growth, an increasingly complex regulatory environment, increasing constituent needs, and emerging competitive modes of education all point to a difficult fiscal environment.

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Improving UIC operations can yield multiple benefits, not the least of which is improving business services while improving the satisfaction and productivity of faculty, staff, students, and constituents who use such services. Tackling resource allocation in a sensible manner can yield cost reductions with less impact on the academic mission of the university while still allowing possibilities for growth and vibrancy that are in line with the stated goal to "remain the premier urban-serving public research university in the United States."²

THE CHARGE

In March 2015, Dr. Michael Amiridis, was appointed Chancellor of the University of Illinois at Chicago. After extensive meetings with internal and external groups and individuals (3000 on campus and over 500 community members), Dr. Amiridis

² <http://news.uic.edu/chancellor-highlights-campus-priorities-to-civic-leaders>

defined four pillars of excellence that would be priorities for his administration to “cement” UIC’s “standing among the nation’s elite public institutions,” and “make UIC the premier model for urban universities in the 21st century.”³ These strategic priorities include: 1) Student Experience and Success; 2) Emphasis on Chicagoland; 3) Impact and Reputation of Research and 4) A New Business Model emphasizing Entrepreneurship.⁴

Advancing these strategic priorities are more likely achieved with effective operations and use of resources. On September 28, 2015, Chancellor Amiridis appointed the UIC Resource Strategy Team, co-chaired by Teresa Córdova, Director of UIC’s Great Cities Institute and Steve Everett, Dean of the College of Architecture, Design and the Arts to provide counsel and advice regarding various resource issues facing the University of Illinois at Chicago. (See Appendix A.)

The committee was asked to:

- Review and propose opportunities for service provision changes that will result in cost savings and administrative streamlining. Examine best practices and other university strategies that have worked
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On October 21, the Chancellor met with the committee and delivered its charge, asking the committee to look critically at all UIC operations, to see where there are unnecessary duplications, to ask what are the things we do that we shouldn’t, what are the things that cripple our mission, and what might improve financial and administrative processes. The charge of the committee was to “identify problematic areas” and come up with practical suggestions of how we can address these issues.

To that end, the UIC Resource Strategy Team (RST), has in this report, identified areas of university operations that could a) operate more efficiently and save administrative time, b) create cost savings, c) present opportunities for the generation of new revenue, and d) provide a more ideal learning and research environment reducing unnecessary administrative burdens on faculty, staff, and students. Though this report is not exhaustive, it does advance the goal to identify issues and solutions to improve practices and policies that affect UIC operations.

³ <http://uicalumni.org/2016/03/07/uics-pillars-of-excellence/>

⁴ <http://news.uic.edu/chancellor-highlights-campus-priorities-to-civic-leaders>

The committee was mindful of several recurring themes:

- Importance of improving “efficiency” without compromising effectiveness
- Need to think carefully about how to balance decentralized vs. centralized structures and processes, whether it is related to the current resource allocation model, HR, purchasing, etc.
- In identifying the various constraints that affect operations, the need to determine what is federal or state mandated; what is a University Administration regulation; what is a civil service mandate; what is UIC policy; and what are college-level policies
- Assessing what can be “fixed” from the inside vs. what external assistance is needed
- Critical role of effective leadership
- While considering the need to cut expenses, assessing which units are under resourced to the point that it affects quality and delivery of service
- Determining how money is being spent and where savings might be found
- Assessing whether organizational structure impedes or enhances ability to accomplish goals

The committee paid particular attention to the importance of implementation and includes in this report a section on how the proposed recommendations, if accepted, can be actualized.

THE REPORT

The Resource Strategy Team began its work by perusing previous relevant reports (See Appendix B), compiling a list of systems to examine, and identifying key individuals to interview (See Appendix C).

In addition to the full committee meetings, the Team later added subcommittees to consider specific recommendations on particular topics. These subcommittees were: 1) Centers and Institutes, 2) Human Resources, 3) Business Processes (Procurement, OBFS, Pre and Post Award Contracts, 4) Research Administration (Business Processes, Compliance, IRB), and 5) Strategic Resources (Cost Containment, Employment Policies and Processes, International Services, Academic Computer and Communications, and Relationship to University Administration).

This report contains a series of recommendations organized in categories consistent with the Subcommittees. In addition to the narrative for the recommendations, this report also includes a summary table of the recommendations by categories described above and examples of these recommendations related to Centers and Institutes.

This report also contains a recommended structure for implementation of the recommendations, a number of additional considerations, and concluding thoughts.

This May report is the first round effort to convey the extent of the Team's considerations. A final version of this report will be delivered to Chancellor Amiridis by mid-August. The conversations were rich, detailed and held with a genuine regard for how to improve the functioning of UIC in a way that enhances its academic mission.

SUBCOMMITTEE RECOMMENDATIONS

I. HUMAN RESOURCES (HR)

Purpose: The Human Resources Subcommittee reviewed human resource practices with the goal of identifying areas that 1) create unnecessary administrative burden and 2) create unacceptable delays in hiring.

Methods: Subcommittee members participated in information sessions, as part of the larger committee, with most of the university leadership. Additionally, members scheduled a follow-up meeting with Michael Ginsburg, Interim Associate Vice Chancellor for Human Resources, and gathered additional information through email communication with Dr. Ginsburg and through the UIC and university administration websites.

Current Conditions: In 2014, the reporting structure and alignment of functions and duties of University Human Resources were amended to reflect the direct reporting line from university administration human resources office to campus leadership. Furthermore, in August 2015, UIC Human Resources was reorganized under the Vice Chancellor for Administrative Services and Michael Ginsburg was appointed as Interim Associate Vice Chancellor for Human Resources. Under this new leadership, UIC Human Resources began a thorough examination of human resources practices, identifying opportunities to improve service delivery and engage stakeholders and campus leadership.

As presented by Dr. Ginsburg to the UIC Resource Strategy Team on December 8, 2015 and in meetings with campus leadership, the immediate goals of human resources are to: get people hired and paid in a timely manner; resolve internal issues (structure/personnel); address understaffing issues; and change the current/perceived culture of a “not customer oriented” organization. At a subsequent meeting with Dr. Ginsburg, the focus was on changes implemented since he meeting with the committee, where and what does he see is the problem, and his planned timetable for improvements.

Dr. Ginsburg reported the following changes and plans:

- Finalize collective bargaining agreement with UIC United and Graduate Employees Organization
- Compliance with the State University Civil Service System (SUCSS) and freezing conversions of academic professionals to civil service
- Adoption of the Sponsored Program Demonstration Project (expedited hiring of research funded positions)
- Creation of HR Welcome Center to perform an ombudsperson role
- Implementation of Board of Trustees mandated criminal background checks campus-wide

- Issuance of 3 terminal contracts in human resources due to operational and financial issues. To date, there has been no drop off in service levels, more staff report directly to the Associate Vice Chancellor
- Following a meeting with new Civil Service Director, Dr. Ginsburg and Vice Chancellor Mark Donovan, significant changes for UIC were approved:
 - Elimination of typing test
 - Expansion of the “rule of 3” for interviewing CS candidates (resulted in potentially more applicants to interview)
 - Eliminated out of state restrictions for civil service applicants (managerial level appointments only)

Additionally, an examination of UIC and UA websites indicates that UIC HR is not responsible for all aspects of human resources on the UIC campus. The office must work with and coordinate HR activities with other responsible units, as well as the hiring units. The organizational structure is illustrated in the attached figure (See Appendix D).

Areas of Concern:

- University HR processes UA hires on the campuses and may not employ the same rules on titling and salary levels that UIC does.
- With Payroll and Benefits located away from Campus HR (in Urbana), is the coordination effective? Should there be a direct link between HR and payroll?
- Is this disparate structure (reporting to different administrators, on different campuses) allowing for coordinated communication and effort? Does this structure allow for UIC’s issues and priorities to be addressed? (e.g., clinical employees, Chicago market, etc.) What is the inter-relationship among these units, and what is the ideal?
- What does University HR provide as far as support for Campus HR’s? Do they coordinate the implementation of all-university policies, practices? (e.g., criminal background checks)

Recommendations: Subcommittee recommendations are grouped into two categories: 1) initiatives and actions that should be continued or implemented with little need for consultation or further study; and 2) initiatives that will require consultation with leadership and users, may require considerable study of the roots of problems, and may take some time.

1. Initiatives and actions that should be continued or implemented right now

- Applaud changes in leadership and elimination of one layer of management in UIC HR
- Continue efforts for improved customer service
 - CS hiring flow within UIC HR: Changing from generalist to specialist roles within UIC HR (separate recruitment from transactions)
 - Help desk, ombudsperson services in HR

Recommendation HR 1: If the current organization structure is retained (see recommendation 2.a), there should be more coordination/communication between all HR-type entities serving UIC.

Recommendation HR 2: There should be a common portal for all HR related information. Currently, the UIC HR page does provide information, with links to further information, for payroll and benefits. This should be expanded to include faculty affairs, access and equity, student employment, and international services.

2. Initiatives that will require planning, consultation, and additional expertise

Recommendation HR 3: Examine fragmentation of HR structures and reporting. An organizational structure that is this complex is prone to inefficiencies and lack of accountability. It is also difficult to communicate the role, function, and responsibilities of all the parties in such a complex organization. An illustrative example of the extent of the complexity is that Dr. Ginsburg indicated that the permanent director of HR might need to be limited to internal candidates because the system is so complex and difficult to navigate. We are recommending that the examination of HR structures and reporting include reference to best-practices and learning from systems that work well in other public universities, particularly public university systems with academic health centers.

Recommendation HR 4: Explore all HR related policies and procedures to ensure that we are not imposing bureaucratic policies and procedures beyond what is required by law, university statutes, or civil service system requirements. Ensure that we are not “over-interpreting” requirements or imposing unnecessary processes.

Recommendation HR 5: Foster open communication with State University Civil Service System to continue efforts, such as the recent civil service demonstration project, that allow for improved hiring procedures and flexibility for grant-funded positions.

Recommendation HR 6: Create a pool of academic professionals available to other units due to position elimination. Per University statutes, depending on length of employment, academic professionals are entitled to 6 months or 12-month notice before termination. This can impose a considerable burden on units that are eliminating positions. We are recommending that a mechanism be created to identify these employees, so that other units that are creating new academic professional positions or filling vacant positions can consider hiring T-contract academic professionals.

Recommendation HR 7: Complete the job analysis that was begun at UIC a number of years ago. The process has not been transparent or consistent in the past and has created financial, administrative, and morale problems in many units. Any attempts to complete the job analysis, should be done in a way that achieves consistency within and across units and that causes minimal disruption to units.

II. BUSINESS PROCESSES

Purpose: The Subcommittee was tasked with identifying which of all of UIC's business processes represented high value processes that could be improved to yield better efficiencies and/or cost saving. UIC is a large and complex organization and unfortunately the volume of processes are extreme and complicated by state laws, UIC policy and practices and human variation. Ultimately, the Subcommittee concluded two areas represented the highest value for improvement: 1) Procurement and 2) The Grant Pre & Post Award process.

Method: The UIC Resource Strategy Team Business Process Subcommittee provided preliminary observations and recommendations to the UIC Resource Strategy Team Committee. Views were informed by hours of committee discussions, numerous interviews with UIC leaders and department heads and the committee's personal experience with the processes and practices of the University.

A) Procurement

Overview: Procurement at UIC represents one of the most significant administrative burdens all units on campus must navigate. There are numerous resources (IT systems, compliance and staffing) at both University Administration and UIC dedicated to sourcing goods and services. Too often, the complex nature of UIC's large, teaching and research organizational needs provides an overwhelming challenge to our system of procurement and compliance and unduly slows the process of obtaining vital goods and services for the needs of operations.

Recommendation BP 1: Business Process Improvement (BPI) is a shared service within the University dedicated to assisting the University in determining the future state of its business processes. BPI represents a leading edge approach to solve difficult problems of blending processes, systems, and technologies to support the University's business needs in an efficient manner. This is not a quick fix but a significant detailed business process evaluation and assessment approach that could yield efficiencies and savings throughout the entire enterprise.

The Subcommittee understating is that the Business Process Advisory Group, an organization that helps direct the efforts of BPI, shares this Subcommittee's belief that the procurement process at the University should be reviewed and where necessary improved. The Subcommittee recommends that BPI, with the possible assistance of outside consultants, review the University's procurement process for improvement.

The UIC Resource Strategy Committee supports the Business Advisory Group recommendation to review the University's procurement process. We believe the results of a detailed business process review will yield significant savings and yield sustained and long-term benefits to UIC.

Common feedback includes taking too long when business rules require purchase orders or bids, overly complex business rules that are often unknown to those making purchases, and difficulty tracking and reconciling transactions.

1. Strategic procurement – have we been able to leverage savings with discounts at bulk rates?
2. Reduce the number of different billing systems in place

Recommendation BP 2: Comprehensive revenue cycle management should be a top priority. In the future, the UA University Procurement Source to Pay Process Analysis and Improvement being planned by Mike Bass, Senior Associate Vice President may address this.

B) Grant Pre and Post Award Process

Overview: UIC has a unique structure for grants' pre and post award that requires a significant level of communications, collaborations and coordination between the colleges, principal investigators, the Office of the Vice Chancellor for Research and Office of Business and Financial Services (OBFS). This structure, although unique, has served UIC in a fair manner but as UIC continues its march toward a world-class research university, systems and structures that support such a goal should be assessed to determine their current state.

Problem BP 3: Total research funding has decreased year-over-year and such a decline is contrary to the goal of a world-class research university. The committee reviewed several points of anecdotal information that would suggest that at times the UIC structure for grants' pre and post awards appears insufficient to support the needs of the organization. This may not relate to the structure but could be a manpower or allocation of manpower issue across the many divisions involved in grants' pre and post award. Moreover, there was a large discussions of grants not pursued because of the expected support of the grant structure.

Recommendation BP 3: The committee supports a more detailed review of systems and structure that supports grants' pre and post awards with the goal of improved compliance, higher accountability and an agreed method to easily incorporate grants that require multidisciplinary approach:

- Effectively serve the needs of researchers
- Responsive to sponsor's requirements
- Meets compliance requirements
- Streamlined and efficient, and
- Reasonably lean.

Problem BP 4: The Grants and Contracts Office (GCO) is a UA function and housed in UA though it serves the respected UIC/UIUC campuses. Due to the UA hire freeze, the GCO in Chicago has lost 5 FTEs due to attrition. It is unable to hire replacements and has had to resort to hiring a temporary workforce. The shortage in FTEs has forced the office to triage the most pressing issues – predominantly compliance - and sponsor reporting, forcing other issues including grant closeouts down on the road. This has huge implications for audit findings, fines, and isolates the GCO from customers – faculty and unit financial staff. It also stifles GCO’s ability to plan and respond strategically to new initiatives and processes.

Recommendation BP 4: UIC leadership request an exemption from the freeze for essential operations including the GCO office. If UIC does not meet its sponsor reporting and closeout deadlines, it places itself at risk for noncompliance and monetary fines or the sponsor withholding of funds.

Problem BP 5: Over the past 8 years, the Office of the Vice Chancellor for Research (OVCR) has had 3 leadership changes. In addition, a unit of the OVCR, the Office of Research Services (ORS), has also experienced staff turnover leaving the depth and breadth of sponsored project expertise deteriorated. This poses a huge challenge for collaboration and communication between the ORS and the GCO. This leaves UIC vulnerable to misinterpretation and slow implementation of the Federal Uniform Guidance.

Recommendation BP 5: Provost/VCHA create a compelling incentive for GCO and ORS leadership to communicate and collaborate more effectively.

Problem BP 6: Several processes sit at the UA level including Benefits, Payroll, and Payables with no representation on the Chicago campus. This is inefficient and has had detrimental impacts including delays in troubleshooting issues that arise in the departments and colleges and when they do arise – customers get 1) a “help ticket” that can take days to turnaround, 2) lack of uniformity in responses – depends on who you ask, and 3) insufficient coordination with Campus HR in addressing employees’ needs as well as the needs of the Campus HR office itself.

Recommendation BP 6: Reassign from UA/Urbana or hire representatives to these units on the Chicago campus.

Problem BP 7: OBFS/Payroll processes more than 4000 payroll adjustments months. This does not include the tens of thousands of payroll checks cut monthly. This is a strain on resources and usurps thousands of FTE hours.

Recommendation BP 7: Investigate converting the two payroll cycles and payroll adjustment schedule to a bi-weekly payroll. This could cut down on FTE hours spent on processing checks and payroll adjustments.

Problem BP 8: UIC current business environment can be inconsistent. Colleges and units have developed multiple administration systems with:

- Best practice in some areas, improvement needed in others
- Communication between pre and post offices has eroded
- Highly variable service levels
- Confidence in adequacy of internal controls, and
- Increased compliance requirements from sponsors.

Recommendation BP 8: Consider creating shared service or hub and spoke models in research administration to provide faculty with greater support and access to subject matter experts. Also to strengthen compliance, mitigate risks, and standardize work processes to ensure work gets done right the first time.

Problem BP 9: Idiosyncratic and complex awards are not always handled efficiently and effectively, which result in:

- Frustration, heavy workloads, ineffective outcomes, and errors
- Variance in the quality of resources and local processes supporting tasks
- Inadequacy of internal controls
- Cause delays
- Places University at risk of violating compliance regulations
- Strain relationships with sponsors
- Complex awards (multidisciplinary awards, awards with new sponsors, international awards) often require more resources from multiple units to address issues that arise in establishing or managing the awards. Number of complex awards is increasing.

Recommendation BP 9: Create a central Federal Contracts Specialty Team consisting of staff with pre and post award expertise, perhaps starting in College of Medicine only. Team can provide pre and post award co-management and/or assistance to departments and PIs in the management of certain contracts. Start with Federal contracts only; potential to expand services over time.

Problem BP 10: The complexity of our systems supporting research at UIC are quite complex so new employees struggle to develop the necessary skills and institutional knowledge to consistently perform their jobs at a high level.

Recommendation BP 10: Develop robust research administration onboarding program. Ensures employees are well trained before they start their new job.

Problem BP 11: There is a large variance in the number of staff in various research support areas. There needs to be a consistent standard developed.

Recommendation BP 11: Develop analytical model to determine optimal research administration staffing levels. Faculty and staff feel that research administration workload has been increasing and that units do not have sufficient staff to manage research awards.

It may be difficult to validate this observation as availability of data is limited to understand current and historical staffing levels and/or determine what optimal staffing levels should be (e.g., how many awards one resource can manage). Duke University has developed a statistical model to determine the optimal research administration staffing levels that should be studied.

Problem BP 12: There is not enough university support for expanding our research portfolio.

Recommendation BP 12: Develop more programs to help research investigators aggressively seek awards.

III. RESEARCH ADMINISTRATION

Purpose: The Research Subcommittee reviewed research administration at UIC with a goal of identifying areas that: 1) create untoward administrative burden, 2) inhibit research collaboration, and/or 3) interfere with the efficient and timely completion of research projects.

Current conditions/Problems to be addressed: Research Administration requires a high level of staff and Principal Investigator (PI) effort and time. According to figures provided by the Vice Chancellor of Research, UIC processes approximately 3500 grant proposal submissions, 1500 new awards, 10,000 IRB protocols, and 1500 animal protocols each year, so efficiency in administrative procedures is vitally important. Current grants administration practices and the related administration needed to support research activity (i.e. human resources) are often cumbersome and sometimes viewed as unsupportive of a robust research environment. In addition, there is an unmet need to assist PIs in locating and applying for large-scale extramural opportunities.

Committee recommendations are grouped into three broad categories:

1. Grant Proposal Submission and Grants Management

Recommendation RA 1: Streamline grant application submission by moving to paperless electronic submission including a fully electronic system with electronic routing (no wet signatures). Provide for advanced pre-review and approval by ORS, allowing PI to control final submission time.

Outcome RA 1: Savings of PI and staff time, improved efficiency and savings in efficiency of submission.

Recommendation RA 2: Simplify pre-award budgeting process by reducing the need for budget detail at time of submission. Explore reducing required budget detail for proposal submission when detail not required by funding agency.

Outcome RA 2: Savings of staff time and ORS proposal reviewer time.

Recommendation RA 3: Create budget templates for major funding agencies that allow auto-population with fringe rate and salaries (auto pulled from banner).

Outcome RA 3: Savings in staff time and improved efficiency.

Problem RA 4: The grant proposal process can be delayed or put off due to tension and disagreement over indirect cost recovery (ICR) splits. The current split of ICR is 44.5% to campus (of which 7.7% to OVCR), 8% to UA, 27.5% to colleges and 20% to departments. The tension revolves around the 47.5% shared by departments and colleges. In addition, when Centers/Institutes administer the grants earned by faculty from departments, the situation can become more complicated over how to

split the indirect costs. For instance, some departments use salary requested associated with an investigator divided by modified total direct costs calculated for year 1 and others may use salary and fringe averaged over five years.

Recommendation RA 4: Create Indirect Cost Recovery standards or general formula for purposes of transparency that is fair to departments and colleges as well as Centers/Institutes. In the current state, the method to calculate indirect costs on a PAF varies between departments, colleges and Centers/Institutes. By having a general principle applied across colleges/departments/Center and Institutes clearer expectations are established. This can hopefully spur more collaboration and not less. Create an electronic form for ICR calculations that captures a methodology to arrive at the splits. When units have clearer expectations, they can project their funding streams more accurately and allocate their resources appropriately.

Outcome RA 4: For organizations to thrive, clear expectations at the outset can help drive more collaboration and reduce barriers to collaboration. More uniform ICR allocation and recovery, potential reduction of tension across departments and colleges and Centers/Institutes, Increase revenue stream through increased multidisciplinary collaboration.

Recommendation RA 5: Increase standardization and transparency in ICR recovery. Create an electronic form for ICR calculations.

Outcome RA 5: More uniform ICR recovery.

Recommendation RA 6: Examine the process of external grant financial audits and consider including more campus oversight and involvement.

Outcome RA6: Will allow for rapid response by units to potential negative findings and diminish monetary fines and stricter regulatory oversight.

Recommendation RA7: Review policies on tuition remission to maximize recovery on federal grants.

Outcome RA7: Increased tuition remission dollars.

Recommendation RA8: Allow Banner salary data to automatically download into whatever electronic system for proposals and budgets is built.

Outcome RA8: Decrease delays in acquiring information from Department HR/business managers and increase efficiency of grant submission.

Recommendation RA9: Streamline contract assignment and allow transparent tracking of current status and follow-up of contract negotiation.

Outcome RA9: Increase revenue dollars through quicker execution, streamline faculty's ability to hire and procure, and improve ability to meet contract timeline and deliverables.

Recommendation RA10: Establish uniform coding of grant proposals for faculty with affiliations to academic departments before submission to sponsors.

Outcome RA10: Increased national visibility, student and faculty recruitment, increase extramural funding particularly by federal sponsors. (Also detailed in Centers and Institutes Report).

2. Research Development and Research Support

Recommendation RD1: Establish a vigorous and effective office of research development (to include senior level staff i.e. M.D. and/or Ph.D.) that is charged with assuring the UIC is prepared and effective in meeting challenges for extramural funding opportunities. This office would identify opportunities, locate appropriate faculty, and assist with rapid mobilization and responsiveness to the emerging opportunities.

Outcome RD1: Increased receipt of extramural funds.

Recommendation RD2: Enhance government relations to identify opportunities for government-university research partnerships.

Outcome RD2: Increased receipt of extramural research funds.

Recommendation RD3: Provide an annual report assessing efficiencies and cost deficits with recommendations for continued or discontinued support for each Research Resource Center (RRC) unit based upon dollar recovery and funded projects supported by the unit.

Outcome RD3: More effective use of centralized resources.

Recommendation RD4: Return reporting of the Office of Technology Management to UIC oversight. Currently, the Office of Technology Management reports to the Vice President for Research.

Outcome RD4: More effective recovery of dollars from intellectual property.

3. Research Compliance – Institutional Review Board

Recommendation RC1: Improve IRB educational and training efforts to:

- Increase educational efforts, particularly for students and fellows
- Develop/locate CITI and UIC learning module training that are applicable for community based partners

- Create a Help Desk

Outcome RC1: Reduced administrative burden to managers, students, lab staff, and PIs; Increased human subject research and clinical research funding

Recommendation RC2: Improve IRB protocol submission and review process:

- Develop system to provide IRB review comments electronically and directly on IRB forms
- Investigate possibility of simplifying review for exempt protocols
- Implement user-friendly electronic forms that allow auto population of demographic and personnel information/lists
- Improve version control and identification

IV. CENTERS AND INSTITUTES

Overview: In 2004, an examination of the nearly 140 centers and institutes was conducted, which resulted in a recommendation of new policies to govern the formation and management of new centers and institutes as described in the *Centers and Institutes at UIC a Vade Mecum* (2007). As stated in the report,

Centers and Institutes form focal points for diverse activities to create pinnacles of excellence and visibility for UIC. They may exist to respond to specific disciplinary opportunities, to create inter-disciplinary scholarship or to connect UIC to outside institutions and communities (p. 2).

A large research university such as UIC is an extraordinarily complex and dynamically changing entity. Its administrative structures and units are, however, largely based on historical disciplinary divisions. By the nature of the research university as a source for the creation of new knowledge, these administrative structure and units may not always be optimum for accommodating or nurturing enterprises based on new knowledge and its furtherance. It is therefore appropriate that we look to the creation of new organization entities whose dominant purpose is to foster these activities – hence the need for Centers and Institutes (p. 3).

Centers and Institutes at UIC are characterized by a well –defined mission, organized for research or public service (with or without an educational component), and most are IBHE approved. The Centers and Institutes facilitate interdisciplinary and multidisciplinary research, broaden the boundaries of community participation and engagement, and strengthen the scholarly activities and output of faculty, students, and trainees. Exceptions to the terms Centers and Institutes are made when a compelling case to recruit or retain a group of researchers/scholars exist. Additionally, exceptions apply in cases of centers whose primary activity is not research or public service, such as cultural centers and centers in the hospital. These exceptions contribute to the research and service (cultural centers) aspects of the campus. Centers and Institutes play a valuable and dynamic function in organizing activities for people who wish to work together on focused topics in research, teaching and outreach.

Under the leadership of the Vice Provost for Planning and Programs, Saul Weiner, the Office of Programs and Academic Assessment (OPAA) is responsible for coordinating the campus-wide review of IBHE approved academic programs including degree programs, centers, and institutes and the periodic review of “permanent” IBHE approved centers and institutes. IBHE requires that program review occur on an eight-year cycle at the discretion of the institution. Of the 40 IBHE approved Centers and Institutes, four have been reviewed since 2014 with the remaining scheduled to be reviewed between 2016 and 2021.

Reviews are coordinated with the involvement of the Office of Institutional Research and the Senate committee on Educational Policy. As of 2015, UIC had 40 IBHE approved Centers and Institutes which together generated over \$105.8 million in expenditures in FY15; nearly \$80 million of this was from grants and \$14.9 million from State funds.

Purpose: The Centers and Institutes Subcommittee was charged with reviewing and recommending an organizational structure for centers and institutes. The subcommittee reviewed the number of Centers and Institutes identified with a “principle college or OVCR.” In addition, the subcommittee discussed how investment of resources into a center or institute need to be weighed against other competing demands for financial and administrative resources and support. The subcommittee reviewed several documents including the *Centers and Institutes at UIC a Vade Mecum* (2007), Centers/Institutes’ mission statements, budget and expenditure data, and met with several campus leaders.

Summary Findings: The subcommittee came to the consensus that the following items were important: 1) assess the organizational structure; 2) determine if the IBHE 8 year review cycle is expeditious; 3) highlight and promote the cutting edge research and activities taking place; 4) evaluate organizational reporting structure across colleges and campus; and 5) develop criteria for assessing the viability of a center and identify a process to sunset inactive centers.

Current conditions/Problems to be addressed of Centers/Institutes: There are approximately 40 IBHE approved centers and Institutes and an additional 14 department associated programs under the Centers/Institutes rubric. These Centers/Institutes encompass different type of structures. There are centers housed in Departments, some in Colleges, a few across Colleges and others under campus Vice Chancellor units. The Center/Institute is dependent on the sponsor’s budgetary leader (Department Head, Dean, or Vice Chancellor) and in some cases, on the number of faculty affiliated with the Center/Institute. Some of these Centers are/were created based on federal grants with a temporary status (based on funding) and while some continue to obtain federal funding, others remain being called “Centers” even after the end of funding contracts. A few Institutes have statutory identification i.e. the Public Policy Institute and the Institute for Public and Governmental Affairs and others were created through state funding as part of a university initiative and rely on State appropriations. Most of the Centers/Institutes are approved by the IBHE as “permanent.”

Many of the problems described below have been recurring themes over the past few decades. The 2007 report “Centers and Institutes a Vade Mecum,” is an excellent source document that resulted in the sunset of approximately 100 Centers and Institutes for failing to meet certain criteria.

Problem CI 1: Given that Centers/Institutes have a special role to play by providing foundations to support research and services in emerging areas of knowledge or

furthering current areas, what criteria could be adopted to measure their “value added?”

Recommendation CI 1: Determine if the Center/Institute focus continues to be well aligned with the strategic goals of UIC. Their existence should not be perceived as replacing ongoing activities in academic units but as focal points of strength upon which the campus can enhance certain priorities and leverage external investment. To determine alignment and strengths, UIC leadership should collect key information through a survey of Center/Institute leadership. Survey Research Lab can be utilized.

Outcome CI 1: Quickly assemble data from Center/Institute leadership to determine alignment of goals, the value to UIC, assess needs, and explore synergies.

Problem CI 2: 10 years to review an IBHE Center/Institute is too long. The process is comprised of IBHE’s mandated eight-year review in addition to 2 years needed by the Office of Programs and Academic Assessment to complete the evaluation. The process is outlined in the University of Illinois at Chicago Program Review Manual 2013-2021. IBHE rules state:

Institutional program review will occur on an eight-year cycle, with the institution determining the schedule for individual programs. Since eight years is considered the maximum time period for reviewing an individual program, *some programs may be reviewed more than once within this cycle.*

Recommendation CI 2: Since we cannot change the IBHE 8 year rule, if the OPAA assessment was started in year 6 – UIC be ready for IBHE by year 8. It may also make sense for IBHE-accredited Centers/Institutes to undergo a midterm review process, assuming it is not cost prohibitive. This could be based on review of activities, compliance, quality metrics and continued fulfillment of their mission since some centers/institutes were created many years ago to respond to relevant research/social problems.

Outcome CI 2: By conducting a midterm review, a Center/Institute can be evaluated and determined at approximately the half waypoint whether the Center/Institute is fulfilling its mandate. If not, then the Director/Dean/VC should put forward a plan for next steps and measurable outcomes. In performing an interim review, it may expedite decisions to continue or sunset thus allowing leadership, in consultation with center directors, to increase or decrease resources.

Problem CI 3: According to the “Centers and Institutes at UIC a Vade Mecum” report (2007), only after a Center/Institute has undergone a complete process of approval can it be designated as such. However, since 2007, UIC has not conducted a comprehensive review of all Centers/Institutes to determine whether they continue to conform to the strategic aims of UIC. While Centers/Institutes were eliminated in 2007, since then, several have come into existence for example though

not IBHE approved including the Institute for Minority Health Research and the Institute for Entrepreneurial Studies. This committee recommends that an immediate inventory be taken of these new centers including the type of organizational structure they constitute, whether they are multidisciplinary, multi-college, department based or college based. Unfortunately, a number of these Centers/Institutes have not been reviewed, some created for retention of faculty, a few are federally designated centers, and some stem from soft money designations. The Campus has launched a timeline to review all IBHE Centers/Institutes by 2021.

Recommendation CI 3: Assess the status of each Center/Institute and screen IBHE-accredited centers vs. others. Those that are not yet IBHE-accredited, whose critical mass is small, or whose members are mostly (>80%) in the same department, could be allocated as "tier 2" and be categorized among specific programs within departments or colleges. The evaluation of such centers would then be part of the 5-year Department Head or Dean Reappointment evaluation.

Outcome CI 3: Allow campus to inventory and attach appropriate designation, create an evaluation process of relevance and sustainability.

Problem CI 4: The grant proposal process can often be delayed or put off due to tension and disagreement over indirect cost recovery splits. The current split of ICR is 44.5% to campus (of which 7.7% to OVCR), 8% to UA, 27.5% to colleges and 20% to departments. The tension revolves around the 47.5% shared by Departments and Colleges. When Centers/Institutes administer the grants, the situation can become more complicated over how to split the revenue from indirect costs (IDC).

Recommendation CI4: Create Indirect Cost Recovery standards or general formula or criteria for purposes of transparency that is fair to departments and colleges as well as Centers/Institutes. This can hopefully spur more collaboration and not less. Create an electronic form for ICR calculations that captures a methodology to arrive at the splits. When units have clearer expectations, they can project their funding streams more accurately and allocate their resources appropriately.

Outcome CI4: For organizations to thrive, clear expectations at the outset can help drive more collaboration and reduce barriers to collaboration. More uniform ICR allocation and recovery, potential reduction of tension across departments and colleges and Centers/Institutes, increase revenue stream through increased multidisciplinary collaboration.

Problem CI5: When grants are administered by Centers/Institutes, academic departments may not receive the appropriate external ranking that comes from faculty obtaining external funding. When proposals submissions and awards do not identify the academic unit and instead recognizes the Center/Institute, this bars departments and colleges from obtaining national recognition for scholarship they deserve. This problem is more complicated when faculty have multiple affiliations to academic departments and/or Centers/Institutes.

Recommendation CI5: Establish uniform coding in Banner and in the OVCR's pre-award electronic system for grant proposals of faculty with affiliations to academic departments before submission to sponsors. This can be achieved by mutual agreement between VCHA/Provost/VCS/ Deans/Dept. Heads/Directors. Perhaps assessing how other institutions handle credit could inform UIC's process. Additionally, restoring the % effort attributable to faculty on the Proposal Approval Form (PAF) is important because it would allow a method to weigh expenditure credit to the academic units.

Outcome CI5: UIC has an opportunity to address these inequities in our current process, which hurts departments and colleges. Taking corrective action can increase national visibility, student and faculty recruitment and increase extramural funding particularly by federal sponsors.

CENTERS/INSTITUTES AS A BROADER RESOURCE TO UIC

Overview: It is not uncommon in every academic institution that the creation of new Centers/Institutes based on unique knowledge, skills, and funding, creative ideas of a group of people results over the years, in successful initiatives that remain isolated from other equally successful endeavors in parallel fields. Although there may not be necessarily overlapping of research projects or redundancy of infrastructure (although we cannot exclude that there is in some degree), synergism could be vastly improved thereby enhancing opportunities for larger and more visible collaboration.

Since Centers/Institutes "exist outside or on top of the traditional administrative structures, it is important to define their relation to the existing structures. It must be understood how they will be resourced and administered, how they will co-exist with the other structures, and how incentives will be in place to benefit all concerned, such that the success of the Center/Institute is in the interest of all parties.

Under the current state, the 54 centers/institutes (40 IBHE approved, 14 not IBHE approved) generate on average approximately \$4 in extramural funding for every \$1 in State/ICR invested. While not all Centers/Institutes have extramural funding for various reasons, those that do range from 1:1 in grants to each State/ICR dollar up to 26:1 ratio grants to State/ICR dollars. Depending on the purpose of the center/institute, what measure is appropriate for a return on the investment? Metrics may include the number of graduate/post-graduate students trained, community service programs provided, faculty experience, new innovations, and sponsored projects as examples. Centers and Institutes must be involved to define these metrics.

Recommendation CI1: Creation of Center/Institute Leadership Committee chaired by Provost and VCHA to enhance the visibility and vitality of UIC Centers and

Institutes. Such a committee would nurture collaborations among centers in a way that builds UIC's focus in key areas of strength, such as global health, educational policy, health care delivery, innovation, transportation, urban development, violence prevention, etc. with the following goals:

- Celebrate the success of Centers and Institutes through a UIC-based social media platform that can reach students, staff and faculty across the whole campus
- Support and enhance the work of Centers and Institutes
- Increase the awareness of each activity among Centers/Institutes and explore potential larger collaboration in program project grants, multi-PI grants, philanthropy-related "big ideas"
- Develop opportunities to improve student experience, attract new students based on specific tracks
- Develop new tools for UIC marketing for fundraising and for public relation activities locally, nationally and internationally, enhancing UIC's missions.
- Convene a Center/Institute leadership retreat whereby directors present an overview of their Center/Institute, which may encourage synergies and new strategic initiatives to ensue
- Determine the current relevance (academic impact, projected technologic evolution, impact on the society, etc.) and financial sustainability of each Center/Institute.
- Share outcomes by the leaders of these entities with UIC leadership
- Find a unified position to address ranking of academic departments and colleges. It is widely held that Centers/Institutes as the primary administrative unit of the grant usurps the associated metrics reported to external national ranking organizations including NIH and NSF. Academic departments must receive the appropriate credit to insure external visibility and recognition of scholarship.
- Since Centers/Institutes are only ranked internally, UIC has an opportunity to create a process by which dollars are double counted to allow for centers/institutes to be ranked internally and then attribute these dollars back the investigators' academic departments for a department ranking. Cost sharing between departments/ units has to be recognized. A desired outcome will be that it reduces barriers to collaborative work across centers, institutes, and departments by creating equitable attribution of intellectual credit. (See Example 2, Appendix E)
- Create a system (e.g. in Banner and Koali-Coeus so they "talk" to each other) to collect intellectual credit or metric to allow an efficient calculation of how expenditures are credited to academic departments for external and internal ranking. UIC should not allow a system-processing barrier to stifle multidisciplinary collaborations. The desired outcome is that it will create a transparent system to track expenditure data and allow input from faculty and units. See Example 1 below.

This proposal could be considered as a pilot project with 3 phases:

- A) Establishment phase (6 months): definition of participants, shared goals, minimal infrastructure and cost allocation (such as a social media coordinator/assistant interconnected with all the leaders and producing online or web-based products), initial meeting followed by a kick-off meeting implementing the baseline of points 1 to 4
- B) Execution phase (12 months): after the kick-off meeting the steering committee members meet quarterly to update information on activities, collaborations, opportunities, etc.
- C) Evaluation and adjustment phase (3 months): objective metrics on results achieved over the previous 18 months should be analyzed based on agreed criteria such as: visibility of UIC, new/extra funding, innovative initiatives, based on these metrics the steering committee will decide whether adjustments are needed, if the steering committee is cost-effective, if instead should not be continued.

EXAMPLE 1: To illustrate a disincentive to academic units in permitting investigators to participate in multi-disciplinary research and/or allow grants to be managed by centers/institutes or other academic departments, the following is a real case of a barrier.

Dr. X has her grants administered through an Institute, which is administered by a college, which is not her home college. The University's system of financial record is Banner, which only allows 1 organization code to accrue the expenditure credit. OBFS is currently reviewing "a new version of the Grey Book that uses 3 methods of attributing expenditures:"

- By default org on the fund (traditional method)
 - By responsible org on the grant
 - By PI's home org on the grant
1. UIC has an opportunity to address inequities in our current credit reporting which hurts departments and colleges when expenditures reports are generated annually for the National Science Foundation and Blue Ridge rankings. In the example above, IHRP administers the grant on behalf of Psychology. Unfortunately, IHRP is credited with all of the expenditure data and over 5 years, amounted to more than \$14 million dollars. The School of Public Health administers IHRP and these expenditures were counted under Medical Sciences and not Psychology.
 2. In the case of a multi-PI grant the expenditures are not split in half then attributed to respective PI's home units. The expenditures are attributed to the contact PI's home unit (or if administered by a Center/Institute then attributed to the Center/Institute). Due to the system limitations, limited awareness among faculty and business managers, and limited input by departments and Centers/Institutes little if any credit data is checked for

consistency and aligned with the respective academic units before a report is released. Banner does not allow for true multi-PIs to be represented as equals – the best UIC can do is to have separate funds for each PI. Due to Banner limitation, there can only be one PI on a grant or fund but multiple co-investigators. This can be a management problem for units that manage the “whole” grant (all of the projects/cores) for reasons of compliance and expenditure integrity. Creating multiple funds to represent each project and core and the co-investigators participating is time and labor intensive for the Grants and Contracts office as well as business managers in the units. Given the system of record has a limitation, resources should be allocated to OBFS to create a process on the post-award side to do a data scrub and recalculate expenditures equally.

3. Field of Study does the NSF report and each 3-digit org is assigned a Field of Study (e.g. Medical Sciences, Mathematics, Business, etc.) under which their expenditures are included. For example, IHRP’s expenditures were reported under Medical Sciences. However, several of the Institute’s faculty members are from disciplines other than Medical Sciences. The influence of reporting this data accurately impacts the academic ranking nationally. This in turn places the spotlight on academic units that engage in a robust research environment, boosts the number of student training, publications, etc.
4. The PAF (Proposal Approval Form) no longer captures Intellectual credit. If UIC were to revisit collecting Intellectual credit at the proposal stage (ORS/OVCR), this could be one metric to weigh and calculate expenditure data in partnership with the Grants and Contracts Office (GCO). The success hinges on ORS and GCO working closely together and establishing clear expectations of tasks. Because Field of Study and each 3-digit org do the reporting in the NSF report is assigned a Field of Study (e.g. Medical Sciences, Mathematics, Business, etc.).

Example 2: External Ranking is very important when collecting and disseminating research expenditure data. This table for UIC shows \$175.8 million in R&D expenditures under various disciplines. Insuring that expenditures associated with Centers/Institutes are then realigned with the respective academic units impact the rollup under the categories below. So where R&D expenditures occur can impact decisions made by sponsors and philanthropists. Reporting this data accurately can also influence potential recruitment of faculty, training of students, postdocs, fellows and residents.

<https://ncesdata.nsf.gov/profiles/site?method=report&fice=1776&id=h2>

For examples 3 and 4, please see Appendix E through G.

V. STRATEGIC RESOURCE USE

A. Cost Containment

There are a number of cost savings opportunities that the campus may be able to undertake with a relatively low capital investment and short return on investment.

Recommendation SR 1: Where it does not affect the functioning of the unit negatively, migrate off campus leases back to campus. For various reasons the campus has entered into off-campus leases to satisfy departmental space needs. Critically reviewing which leases can be terminated or not renewed could save the campus as much as \$450,000 annually. The key driver is identifying space on campus that is a suitable fit for the department. Off-site locations that are serving community partners in various outreach activities would remain offsite. The investment to prepare space should be minimal and cannot be determined until space on campus is identified.

Outcome SR 1: Cost Savings

Recommendation SR 2: Engage in restroom fixture upgrades to include 270 toilets in medium to high traffic areas. Aging infrastructure that can be replaced at a reasonable cost, that will save money and natural resources are key in any cost saving initiatives. Replacing old inefficient toilets in various campus restrooms with an investment of \$150,000 will save 20 million gallons of water annually and save the camps at least \$50,000 per year. This is a three-year payback initiative.

Outcome SR1: Cost Savings, Sustainability

Recommendation SR 3: East Campus Exterior Light Upgrades. Retrofitting all exterior lighting on the east campus with LED lighting will save an estimated \$52,500 per year. The refitted fixtures will save 384,380 (kWh) of energy per year. The investment to complete this retrofitting project would be approximately \$166,000. This is a three-year payback initiative.

Outcome SR 3: Cost Savings, Sustainability, And Safer Campus

Recommendation SR 4: Develop a single desktop/copier-printing program. The lack of direction in the procurement of desktop printers has led to wasteful management of desktop and office printing. By developing a desktop printing management program that replicates the current campus copier program, the campus may realize cost savings of over \$500,000 per year. The savings come from reducing paper consumption, limiting the number of printers in offices, using fewer printer cartages, spending less time procuring equipment and monitoring consumables. There is no campus investment but the program would need to be deemed mandatory to achieve the predicted savings.

Outcome SR 4: Cost Savings, Sustainability

Recommendation SR 5: Allow departments to self-manage certain small projects with a value of less than \$10,000. In an effort to help departments save money, small projects currently managed by the Facilities Management Small Projects Group would be managed by individual departments. The aggregate savings should be approximately \$150,000 annually. After receiving appropriate approvals, certain projects would be procured and managed locally. While there will be additional human resources effort expended on the task, departments will still saving money. There is no campus investment for this initiative.

Outcome SR 5: Cost Savings

B. Employment Policies and Processes

Problem SR 6: The Civil Service Bumping Structure is problematic and inefficient. The Subcommittee recommends a review of the civil service bumping policy. The excessive burden on units and the stress caused for individual employees makes this an important issue for review. However, there remains uncertainty about where exactly the policy originates. The Subcommittee heard two different explanations for the policy: 1) state mandated or 2) result of union contracts and therefore negotiable. Each party providing the information felt certain about the source of the policy each with implications for whether and how the policy could be changed.

Recommendation SR 6: Given the cost and morale burden of this policy for, the RST recommends full consideration of how the policy can be changed to adapt to changing realities of employment structures.

Problem SR 7: When an academic professional employee is terminated after working for less than four years, the employee will continue to receive full benefits and salary for a period of six months. Employees who have worked more than four years will receive full benefits and salary for a period of twelve months.

Recommendation SR 7: Reduce the length of paid salary and benefit offered at employment termination. Align this practice/benefit with common business practices for severance packages and timelines. Additionally, review other State of Illinois Colleges and Universities with varying timeframes for the terminal benefit.

Outcome SR 7: Flexibility and agility in units to reduce workforce in response to changing conditions. Cost savings in salary lines when new staff members are hired to replace terminated staff by reducing the amount of time when the salary is duplicated. Without the safety net of extended terminal benefits, staff performance may improve.

Problem SR 8: Currently, civil service employees are paid on a different cycle than AP employees.

Recommendation SR 8: Investigate the conversion of one payroll schedule to be in line with the other could save money. Given civil service rules, it would have to be the AP employees whose payroll schedule would be changed.

Outcome SR 8: While it is possible that cost savings could outweigh inconvenience, it may also be the case, that there could be negative financial ramifications (i.e. benefits to the monthly payments, e.g. interest income) that outweigh any potential cost savings.

C. International Support Services

Problem SR 9: International Visa processing occurs in several college offices on campus in addition to the Office of International Services in Student.

Recommendation SR 9: Evaluate and consolidate International Visa Processing for the campus in one office. Migrate these processing offices to one central location housed in the Office of International Services. Increase staffing in this office as needed to be able to accommodate demands of the campus community.

Outcome SR 9: Ensure the highest level of compliance with Homeland Security and Federal rules and regulations. Provide improved and efficient service to international students, staff, and faculty.

D. Academic Computer and Communications

Overview: Information technology enhances the learning environment of students by providing modern learning spaces and current learning tools. Further, information technology is critical to the teaching and research activities of faculty. To become a leader in innovative education and the premier model for an urban university in the 21st century, information technology must become an essential component to the mission and goals of the university. In order to pursue these goals and to meet increasing service demands, a commitment of investment will be required to improve the network and internet infrastructure campus-wide; enhance and maintain classrooms and instructional technology; maintain digital and analog technology; revamp billing and fund source to reflect current usage; and invest in cyber security.

Organizational Structure: The Chief Information Officer, Executive Director for Academic Computer and Communications Center (ACCC), and the HIPAA Privacy and Security Officer is part of the Provost/Vice Chancellor for Academic Affairs leadership team. Cynthia Herrera Lindstrom serves in this capacity. At the

University of Illinois Administration level, Cynthia Herrera Lindstrom represents UIC on the University Technology Management Team, which meets every week. ACCC is primarily funded through ICR, library tech fee, and self-supporting (phone bills). Further, FTE Based fee for service will be deterrent to new funding.

Areas to Focus: Based on its analysis and meetings with Cynthia Herrera Lindstrom, the Resource Strategy Team urges continued assessment of the campus computer technology needs and resources. ACCC is a good example, of resources need for campus wide services that are not available because of the drop in state revenue and made more difficult through the current manner in which resources are allocated (modified RCM), which many argue results in fewer resources available to centralized management or resource provision.

Overall, there are extensive unmet needs of the ACCC that hinder it from more fully serving the growing computer and technological development and needs of campus users.

- Upgrades of IT infrastructure, e.g. wiring
- VOIP conversions: current model does not allow for integration
- Software purchase

Further, there are process improvements that ACCC could provide to the campus through computer technology if ACCC were more fully resourced. Some of the issues, for example, that could be addressed by ACCC include:

- An HR/ticketing system to track transactions (in discussion)
- Research: Electronic Signature of Contracts
- Data Security for Research documents and HIPAA (Health Insurance Portability and Accountability Act)
- Email System consolidation to comply with a 2014 email policy to switch to UIC Gmail for campus email.
- Data storage and retrieval
- Electronic data management (Laser fiche)
- Software implementation and components
- Phone management
- Integration of current software systems, i.e. Banner, TEM

Problem SR 10: Budget for ACCC has remained the same for several years (and is much lower per capita than other U of Illinois campuses) despite increased demand and usage.

Recommendation SR 10: Given the essential role that ACCC plays in university operations, a strategy should be developed and implemented to provide adequate funding for ACCC operations while concurrently working with ACCC for additional cost savings and efficiencies. As an example, the Subcommittee suggests document

conversion to a laser fiche system as an example, both of investment and cost savings.

Problem SR 11: Documents are frequently transported from office to office in order to obtain approval signatures. In some cases, the documents become stalled on a desk or while in transit from one physical location to another. Documents can be misplaced leading to longer lead times on signatures when the process must begin again.

Recommendation SR 11: Implement an electronic document management (laser fiche) system to increase efficiency in managing documents and decrease paper processing procedures. By expanding the Laser fiche program to the broader campus use, the customized processing programs will allow offices to move documents for review and approval electronically. This will drastically reduce the amount of time and staff effort needed at each step of the process.

Outcome SR 11: Improve efficiency in document processing and transactions. Reduce staff time needed to transport and track documents. The result can be improved operational efficiency when documents are stored electronically and easily tracked.

E. Relationship to University Administration

Problem SR 12: UIC is one of three universities within the University of Illinois. Each University has its own administrative leadership and structures although the University of Illinois Board of Trustees with a President at the helm governs the “system” as a whole. In November 2009, in the face of severe declines in state funding, then President Ikenberry, commenced an assessment the University of Illinois administrative structures with the goal to “improve performance” and “reduce costs.” While the report contained a number of suggestions for combining functions across campuses, it did not address the issue of how University Administration (UA) can better serve the needs of the individual universities.

As the Resource Strategy Team made efforts to isolate the source of inefficiencies, conversations often pointed to possibilities for improvement of operations if structures, reporting lines, and policies were changed at the UA level to enable the individual Universities to more effectively function. The constraints of UA regulations are often cumbersome and outdated and need focused review. While there are numerous examples that could be drawn upon to make this point, the Strategic Resources Subcommittee highlights the contracting process as a deterrent to efficient operations, resulting in the loss of thousands of dollars and countless lost opportunities.

Recommendation SR12: Examine UA structure and effect on campus decision to solve issues and process.

Problem SR13: The contracting process is convoluted, complex and not transparent. This applies to various types of contracts including research and clinical contracts. There are documented cases of simple contracts taking more than 12 months, sometimes more than 2 years to execute. The poor contracting process has resulted in many lost opportunities. For example, many potential research contracts require a very fast process and UIC faculty do not try to apply for many of these opportunities because of the long turnaround time. External funders often expect research to be mostly completed and preliminary findings delivered by the time UIC can deliver a contract. Similarly, in many professional fields contracts are needed for student clinical and internship experiences. Often, these contracts take more than 6 months to negotiate which deprives students of appropriate experiences.

The current system is very inefficient. The process is unclear and the investment of time and effort often exceeds the final benefit. In addition to lost opportunities, the cost of staff time is considerable, coupled with frustration and loss of university reputation.

Recommendation SR13: Create an efficient and transparent contracting process that will enhance UIC's education and research enterprise. This will likely require a change in culture, especially in how the university views risk/benefits.

Outcome SR13: Enormous savings in staff time and decreased frustration, potentially large increases in external funding, and improved educational outcomes.

IMPLEMENTATION STRATEGY

PROCESS IMPROVEMENT UNIT

Recommendations fall into three major categories: overall philosophy and principles (e.g. the primacy of UIC's academic mission); recommendations that can be implemented easily and immediately; and recommendations that require further information and analysis.

To assist Chancellor Amiridis in the full consideration of these recommendations, the Team recommends that the Chancellor establish a **Process Improvement Unit**, whose focus would be the consideration and implementation of the recommendations contained in this report. This unit should be collaborative, transparent and data driven.

This Process Improvement Unit (PIU) should exist under the authority of the Chancellor and his senior leadership, the Vice-Chancellors of Academic Affairs and of Health Affairs. In addition to this oversight from top leadership, the structure of the PIU should also include:

- Staff of the PIU, whose full time job is to focus on improving operations and structures at UIC – (emphasis on improving)
- PIU Advisory Committee
- An array of Working Groups and/or Task Forces

Often, changes are recommended in structure or operations because it seems like it might be a good idea, but without full consideration of intent and impact. In such instances, the damages can be long lasting, including the damage to both mission and morale. As an effort to avoid costly mistakes, there are a number of guiding principles that the Resource Strategy Team recommends for this Unit:

- When considering a change, that there be a full review:
 - What problem is the change attempting to solve and why is it a problem?
 - How will the proposed change address this problem?
 - What are the implications of this change on the users and on the academic mission of the university?
- There is an extensive amount of expertise that exists on this campus – both from long time employees and those new to the campus community. This experience and expertise should be drawn upon. This includes those in both top management and those working on the ground and in the trenches, e.g. business managers of a unit, workers in facilities management, etc.

- A full effort should be made to take into account the voices and suggestions of the UIC community as widely as possible. This would necessitate extensive interviews, surveys and focus groups. UIC's Survey Research Lab would be an important resource to tap for this effort.
- While there are systems that do not operate effectively, there are other systems that do. The presumption should not be made that drastic change is needed for all operations. Changes should have compelling justifications, and where feasible, should be data driven.
- Drawing upon other universities for ideas and best practices is desirable. Along these lines, the PIU should seek to compare UIC systems to others and should develop analytics to serve as benchmarks comparing UIC to other best practices. However, even in these comparisons, it is important to bear in mind the culture, context and mission of UIC when making such comparisons.
- Obtaining external assistance may be, on occasion, of value in assisting PIU efforts, e.g. Business Improvement Process (BPI) from University Administration. Hiring external consultants should be done with caution and a cost benefit assessment.
- Metrics and monitoring should be established so as to evaluate the success of these efforts. In particular, tracking should occur of recommendations and the status of their implementation.

The Process Improvement Unit should function in a way that fosters solutions and creative optimism among the university community. The Resource Strategy Team recommends a cultural shift to better-run operations of the enterprise where everyone feels invested and wants to contribute. The PI Unit would have the important task of creating the structure and processes for the campus community to participate in improvements to university practices and policies so as to enable a fuller focus on the academic mission of the university.

ADDITIONAL CONSIDERATIONS

RECURRING THEMES

Over the many months of conversations among the Resource Strategy Team members, there were several recurring and underlying considerations. A brief description of these themes points to the complexity of the issues that arise when considering possible solutions and the ramifications of a given recommendation. For the Process Improvement Unit that the RST recommends be put in place, the following considerations are essential.

- In discussing systems and structures, the team spoke of the need for efficiency. In that respect, the goal of efficiency is tied to reducing waste - in time, effort, and money. Clearly, many policies and practices exist that are highly inefficient, i.e. result in considerable waste-producing costs. Reducing levels of frustration, which is a distraction from the pressing work at hand, is reason enough to make improvements. A number of recommendations in this report are geared towards reducing inefficiencies.

Making certain improvements to operations may be a “no brainer” but nonetheless requires consideration of the ramifications of any given change on those affected by that change. Typically, it is they who can best assist in thinking through the impacts of proposed changes. Great care, therefore, is recommended when making changes in the name of “efficiency” because the result could be reduced effectiveness.

- The current budget model (modified RCM) prompts a debate that is not unique to UIC.⁵ Besides questions of how resources are allocated, the model raises questions of authority and responsibility. A decentralized model places incentives at the college level but in difficult fiscal times, many universities are again centralizing the distribution of resources. A more centralized model also allows for university wide initiatives and innovations. The RST urges balance in thinking through decentralized vs. centralized structures and processes, whether it is related to the current resource allocation model, HR, purchasing, promoting diversity etc.
- Policies and practices may exist because of federal or state requirements, University Administration regulations, civil service mandates, UIC rules or college-level preferences. Unnecessary bureaucracy or inefficiencies may occur at any of these levels. Improving operations and resource use, therefore, requires identifying the source of a given ineffective or inefficient practice or policy to allow an assessment of what it would take, if possible, to change it.

⁵ <https://www.insidehighered.com/news/2010/12/13/budget>

At the same time, the Resource Strategy Team recommends that changes occur at all levels and that the jurisdictional authorities at each level consider ways to improve inefficiencies and ineffective practices and policies. Within UIC, this includes both central administration and the colleges. Technology, for example, has dramatically changed how work is structured, the range of possibilities for completing a task, and the potential for improving operations. The existence of technology alone, however, should not be the overriding determination at the expense of the educational, research and service missions of the University.

- The RST, throughout its conversations, considered the role that various organizational structures play in the smooth functioning of operations. The team recognizes that some structures impede while others enhance the ability to accomplish goals and made some recommendations that tackle organizational structures. The Team, therefore, encourages the Process Improvement Unit to bear in mind that some fixes can occur or be made more easily if organizational structures also change.
- Improvements at the University require effective leadership at every level. The Team suggests accountability measures for both top and mid-level leadership to create conditions that enhance effective use of time, energy and dollars, while fostering an environment of vibrancy and excellence.
- In recent years, while universities throughout the country have faced reductions in revenue and increases in costs, they have had to reduce budgets. There are many universities that avoided across the board cuts and instead approached reductions in a more measured way so as to protect the integrity of its mission and functions, implementing a cost containment strategy. The RST recommends continued efforts along these lines. Similarly, the Resource Strategy Team recognized that while determining how money is being spent and where savings might be found, it is important to assess which units are under resourced to the point that it affects quality and delivery of service for everyone at the University. ACCC, for example, might be such a unit.
- The UIC community includes individuals that have been with the University for many years while others have come in with new ideas and perspectives. Tapping into the experience and expertise at the various levels of operations is crucial to the success of improving operations and resource management.

PRINCIPLES

An endeavor to improve university operations, inevitably involves the application of values. As the Chancellor and his leadership team move forward to consider and implement the recommendations of the Resource Strategy Team, this list of underlying principles is offered as a guide for further efforts.

In line with values already articulated by Chancellor Amiridis, implementation of the findings in this report should be undertaken with extensive consultation with all sectors of the university community, including faculty, staff, students, administration, and senior leadership. It is recommended that the changes or alterations to university operations should adhere to the following guiding principles:

- Serve the best interests of the University of Illinois at Chicago, its faculty, students, and staff, in pursuit of UIC's vision and strategic initiatives, by facilitating university practices that are: effective in accomplishing purpose, service oriented, include reliable and effective internal controls, and meet regulatory compliance requirements in a sensible way
- Add value to people, schools, units, and processes
- Be accountable
- Be inclusive of the UIC community at all levels
- Welcome collaboration as essential to success
- Engage in open, considerate, and ongoing communication
- Embrace creativity and use it to drive enhancements
- Develop solutions that enable improved service within the context of institutional standards, quality, and accountability
- Act with integrity
- Focus on outcomes and measurable results
- Think through the ramifications of a decision on the various levels of users

CONCLUDING THOUGHTS

Speaking to civic leaders at the City Club of Chicago on October 26, 2015, Chancellor Amiridis said about UIC, “We are just scratching the surface of what we can accomplish.”⁶ The Chancellor’s Resource Strategy Team offers this report as advice to the Chancellor and his leadership team, with the assumption that improving UIC operations and use of resources will advance the worthy aspiration of guiding the University of Illinois at Chicago community to even greater heights.

⁶ <http://news.uic.edu/chancellor-highlights-campus-priorities-to-civic-leaders>

Appendix A: Charge Letter



Office of the Chancellor (MC 102)
2833 University Hall
601 South Morgan Street
Chicago, Illinois 60607-7128

September 28, 2015

TO: Steve Everett (co-chair), Dean, College of Architecture, Design, and the Arts
Teresa Córdova (co-chair), Director and Professor, Great Cities Institute
Ahlam Al-Kodmany, APAC representative, Director of Research Operations, Institute for Health Research and Policy
James Bono, Associate Vice Provost and Director of Budgeting and Program Analysis
Lorraine Conroy, Senior Associate Dean, School of Public Health
Benet DeBerry-Spence, Associate Professor, Managerial Studies
Bo Fernhall, Dean, College of Applied Health Sciences
Avijit Ghosh, Chief Executive Officer, Hospital
Michael Harner, Associate Dean for Finance and Administration, Dentistry
Darlene Kendall, President, Staff Advisory Council (SAC)
Michael Landek, Executive Associate Vice Chancellor, Vice Chancellor for Administrative Services
Kouros Mohammadian, Professor, Civil and Materials Engineering
Meena Rao, Professor, Department of Physiology and Biophysics
Steve Rivkin, Department Head of Economics, Professor, LAS
Damiano Rondelli, Associate Director for Clinical Research, Cancer Center
Susan Teggatz, Director, Campus Housing
Joanna Thompson, President, Graduate Student Council
Daniel Williams, Director, CAS Financial Services

From: Michael D. Amiridis
Chancellor

A handwritten signature in black ink that reads "Michael Amiridis".

Subject: UIC Resource Strategy Team

I seek your willingness to serve on the UIC Resource Strategy Team which will be an advisory group to provide counsel and advice to me regarding various resource issues facing the University of Illinois at Chicago.

The committee will:

- Review and propose opportunities for service provision changes that will result in cost savings and administrative streamlining.
 - Examine best practices and other university strategies that have worked.
- Review and recommend an organizational structure for centers and institutes.
- Review and recommend improvements in the business support model and related operations.
- Develop recommendations for related resource issues facing the campus.
- Provide suggestions for business model innovations.

I will provide an outline of my expectations and time frame of deliverables at the first meeting.

Please provide confirmation of your willingness to serve on this team by Friday, October 2, 2015 to Sumanth Bhaskaran at 5-0419 or by email at sbask3@uic.edu.

Thank you.

Phone (312) 413-3350 • Fax (312) 413-3393 • www.uic.edu

Appendix B: List of Reports Reviewed

Report of the University Administration (UA) Review Advisory Committee, Revised March 1, 2014 (reviewed November 4, 2015)

University of Michigan – Ann Arbor Cost Containment Efforts, July 2014 (reviewed November 4, 2015)

UIC Administrative Review and Restructuring Task Force (Internal), November 18, 2011 (reviewed November 4 and 17, 2015)

Budget Development and Management, PowerPoint presentation by Frank Goldberg, Vice Provost for Resource Planning and Management, and Health J. Haberaecker, Executive Assistant Vice President for Business and Finance (reviewed December 15, 2015)

“Some Drawbacks of RCM: The Buck Stops Elsewhere” NACUBO Business Officer Magazine, January 2013 (reviewed January 14, 2016)

UIC Budget Principles PowerPoint presentation by Janet Parker, Associate Chancellor for Budget and Resource Planning, January 14, 2016

Information Technology Priorities Committee (ITPC) FY15 Annual Report (reviewed January 27, 2016)

University of Business Process Evaluation Proposal Draft (reviewed January 27, 2016)

Centers and Institutes at UIC a Vade Mecum, Russell Betts, Vice Provost for Planning and Programs, September 11, 2007 (review on February 10, 2016)

Office of Program and Academic Assessment Format for Seeking Temporary Approval for Centers and Institutes, updated February 9, 2007 (reviewed February 10, 2016)

Policy for Approval of Centers and Institutes, University of Illinois at Chicago Working Draft April 2007 (reviewed February 10, 2016)

FY2015 Institutes and Centers Expenditures by Fund (reviewed February 10, 2016)

IBHE Approved Centers and Institutes, October 1, 2015 (reviewed February 10, 2016)

Centers and Institutes and Programs, School of Public Health (reviewed February 10, 2016)

Schedule for Centers and Institutes, Office of Program and Academic Assessment website (reviewed February 10, 2016)

Creation and Review of Centers and Institutes, UIUC (reviewed February 15, 2016)

Office of the Vice Chancellor for Research Presentation, PowerPoint presentation by Mitra Dutta, Vice Chancellor for Research, February 23, 2016 (reviewed February 23, 2016)

Centers and Institutes Mission and Vision Statements, March 1 (reviewed March 1, 2016)

Vice Chancellor for Administrative Services Overview and Cost Savings Initiatives PowerPoint presentation by Mark Donovan, Vice Chancellor for Administrative Services, March 9, 2016

VCAS Cost Savings Initiatives Summary, March 9, 2016

UIC Resource Strategy Team Business Support Model and Related Operations, PowerPoint presentation by Vanessa Peoples, Interim Assistant Vice President for Business and Finance, March 23, 2016

UIC Strategic Priorities Committee Report DRAFT, March 8, 2016 (reviewed on March 23)

Business Process Advisory Group (BPAG) Summary of Current Requests, 4/4/2016 (reviewed April 5)

BPI School of Public Health new Hire Procedures Process Improvement (UIC) (reviewed April 5)

Appendix C: Individuals Interviewed by UIC Resource Strategy Team

Michael Ginsburg, Interim Associate Vice Chancellor for Human Resources, December 8, 2015

Cynthia Herrera-Lindstrom, Chief Information Officer, Executive Director of Academic Computing and Communications Center, and HIPAA Privacy and Security Officer, December 8, 2015

Frank Goldberg, former Vice Provost for Resource Planning and Management, December 12, 2015

Janet Parker, Associate Chancellor for Budget and Resource Planning, January 14, 2016

Business Process Improvement (BPI) Leadership Team, January 27, 2016
Michael Hites, Senior Associate Vice President for AITS and Chief Information Officer, University Administration
Marc Carlton, Assistant Director for Business Process, AITS, University Administration
Kelly Block, Assistant Vice President, AITS, University Administration

Susan Poser, Provost and Vice Chancellor for Academic Affairs, February 3, 2016

Saul Weiner, Vice Provost for Planning and Programs, February 10, 2016

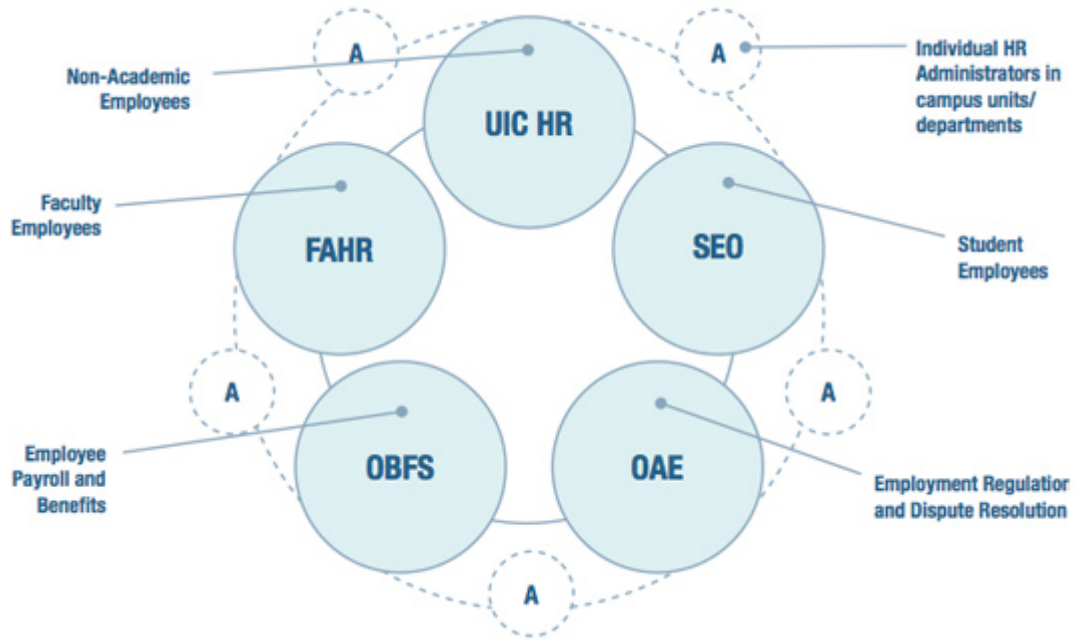
Robert Barish, Vice Chancellor for Health Affairs, February 17, 2016

Mitra Dutta, Vice Chancellor for Research, February 23, 2016

Mark Donovan, Vice Chancellor for Administrative Services, March 9, 2016

Vanessa Peoples, Interim Executive Assistant Vice President for Business and Finance, March 23, 2016

Appendix D: Organizational Structure of Human Resources



Appendix E. Center and Institutes, Example 2

University of Illinois at Chicago

Total R&D expenditures, by source of funds and R&D field: 2014

(Dollars in thousands)

Field	All R&D expenditures	Federal government	State and local government	Institution funds	Business	Nonprofit organizations	All other sources
All R&D fields	347,888	203,733	9,190	106,512	6,048	20,602	1,803
Science	318,483	191,855	7,137	93,535	5,312	19,021	1,623
Computer sciences	10,533	6,281	2,084	1,893	25	0	250
Environmental sciences	2,903	1,432	0	1,416	12	43	0
Atmospheric sciences	0	0	0	0	0	0	0
Earth sciences	1,639	1,148	0	436	12	43	0
Oceanography	0	0	0	0	0	0	0
Environmental sciences, nec	1,264	284	0	980	0	0	0
Life sciences	250,528	158,017	3,702	67,273	5,060	15,311	1,165
Agricultural sciences	0	0	0	0	0	0	0
Biological sciences	60,009	40,817	0	14,800	1,343	2,811	238
Medical sciences	175,814	107,819	2,773	49,433	3,592	11,401	796
Life sciences, nec	14,705	9,381	929	3,040	125	1,099	131
Mathematical sciences	3,100	2,294	0	673	90	43	0
Physical sciences	12,665	7,494	0	4,890	108	138	35
Astronomy	0	0	0	0	0	0	0
Chemistry	7,276	3,621	0	3,409	108	138	0
Physics	5,389	3,873	0	1,481	0	0	35
Physical sciences, nec	0	0	0	0	0	0	0
Psychology	13,303	8,304	0	2,660	0	2,295	44
Social sciences	12,959	5,046	942	5,931	17	989	34
Economics	366	0	0	292	0	74	0
Political sciences	426	62	0	256	0	108	0
Sociology	366	0	0	366	0	0	0
Social sciences, nec	11,801	4,984	942	5,017	17	807	34
Sciences, nec	12,492	2,987	409	8,799	0	202	95
Engineering	21,161	9,791	1,614	8,150	733	718	155
Aeronautical/astronautical engineering	0	0	0	0	0	0	0
Bioengineering/biomedical engineering	8,324	3,284	0	4,766	0	274	0

Appendix E. Center and Institutes, Example 2

Chemical engineering	827	305	0	522	0	0	0
Civil engineering	2,725	1,233	6	869	592	25	0
Electrical engineering	3,390	2,331	0	1,004	2	42	11
Mechanical engineering	5,878	2,638	1,608	972	139	377	144
Metallurgical/materials engineering	0	0	0	0	0	0	0
Engineering, nec	17	0	0	17	0	0	0
Non-S&E	8,244	2,087	439	4,827	3	863	25
Business and management	1,676	25	0	1,619	3	11	18
Communications, journalism, and library science	232	27	0	205	0	0	0
Education	2,732	1,022	94	1,019	0	590	7
Humanities	1,047	0	0	1,043	0	4	0
Law	0	0	0	0	0	0	0
Social work	2,462	1,013	345	846	0	258	0
Visual and performing arts	92	0	0	92	0	0	0
Non-S&E, nec	3	0	0	3	0	0	0

SOURCE: National Science Foundation, National Center for Science and Engineering Statistics, Higher Education R&D Survey

Appendix F: Centers and Institutes Example 3

Table 48 from the NSF data file shows discipline X ranked as 22. When expenditures occur under Centers/Institutes and not attributed to the academic discipline or attributed under the wrong R&D category, (Example 1, Medical Sciences), then UIC's Department X is prevented from potentially moving up several slots nationally.

Table 48. Total and federally financed higher education R&D expenditures in discipline X, ranked by FY 2014 total: FYs 2011-14 (Dollars in thousands)

Rank	Institution	Total				Federally financed			
		2011	2012	2013	2014	2011	2012	2013	2014
1	U. North Carolina, Chapel Hill	41,459	44,595	46,285	46,869	27,326	27,203	27,359	25,323
2	Florida State U.	22,933	21,396	24,704	31,565	15,939	15,055	18,153	25,070
3	U. Minnesota, Twin Cities	22,779	21,661	25,041	25,781	18,139	16,633	18,187	18,322
4	Pennsylvania State U., University Park and Hershey Medical Center	29,686	31,056	28,526	23,476	21,713	22,737	20,806	15,945
5	U. Michigan, Ann Arbor	22,281	24,914	24,244	21,479	14,211	15,451	14,709	11,838
6	New York U.	17,826	20,726	21,235	21,391	15,464	18,043	18,492	18,391
7	U. California, San Diego	25,418	25,447	21,353	19,349	19,287	17,392	14,132	13,285
8	U. Connecticut	23,165	24,290	22,981	18,048	18,031	18,011	16,788	11,565
9	U. Illinois, Urbana-Champaign	16,045	16,546	18,190	17,753	11,045	10,255	9,948	8,782
10	U. Georgia	19,285	21,072	20,680	17,578	11,745	13,271	12,646	9,716
11	Rutgers, State U. New Jersey, New Brunswick	15,595	12,779	15,386	17,562	7,285	7,668	6,375	8,476
12	San Jose State U.	14,356	14,284	15,798	17,209	14,041	13,648	15,040	16,381
13	U. Texas M. D. Anderson Cancer Center	22,452	22,921	17,292	16,600	8,735	7,803	6,583	6,014

14	U. Colorado Boulder	17,105	17,584	16,293	15,675	15,250	15,214	14,652	14,708
15	U. Rochester	17,643	17,991	15,621	15,327	14,680	15,411	13,160	12,928
16	Princeton U.	8,909	9,810	9,991	15,101	5,694	5,534	4,475	6,805
17	U. Nebraska, Lincoln	12,791	13,690	17,889	14,955	8,493	9,150	9,996	8,722
18	U. Pennsylvania	9,128	10,321	14,512	14,926	8,346	8,892	11,347	12,589
19	U. Pittsburgh, Pittsburgh	9,787	9,905	10,908	14,337	8,066	8,421	9,169	12,533
20	Stanford U.	13,865	11,713	11,799	14,067	11,031	8,260	7,701	9,060
21	Arizona State U.	12,726	12,419	12,104	13,805	10,109	10,383	8,962	9,688
22	U. Illinois, Chicago	10,848	13,430	14,156	13,303	8,214	9,140	9,453	8,304

Appendix G. Centers and Institutes Example 4

Internal Ranking is very important to academic units and to Centers and Institutes. The partial tables below reported in the UIC Departmental Summary of Sponsored Research Expenditures (<https://www.obfs.uillinois.edu/common/pages/DisplayFile.aspx?itemId=382697>) shows Departments and Centers/Institutes ranked together with Centers/Institutes treated like Departments (first table). Since faculty have academic home units, rolling up the expenditure data under Centers/Institutes is a disadvantage for departments. The first table contains data under an Institute but had there been a disaggregation of the data and reassigned to the department of the principal investigator, the department would have gained more than 25 slots upward in rank.

Recommendation: Compare academic units to academic units and Centers/Institutes to Centers/Institutes on separate tables with annotations of units represented in two places. UIC can create a page with expenditure data attributed to Centers and Institutes, then on a separate page/section of the report, attribute the expenditure data for Centers/Institutes back to the academic units of the investigators. Since this is an internal report, it promotes both the rigor and scholarship of Centers/Institutes while at the same time celebrates the rigor and scholarship of the academic units. The same methodology can be used to rank Colleges.

UNIVERSITY OF ILLINOIS AT CHICAGO DEPARTMENTAL SUMMARY OF SPONSORED RESEARCH EXPENDITURES BY DEPARTMENTAL RANK ORDER FISCAL YEARS 2011 - 2015 (Amount in Thousands of Dollars)

Fiscal Year					Department	College	2015**	% Chg.	2014	% Chg.	2013	% Chg.	2012	% Chg.	2011
15	14	13	12	11											
1	1	1	1	1	Medicine	MEDICINE - CLINICAL	\$25,577	1.9%	\$25,103	1.3%	\$24,793	-16.0%	\$29,532	14.8%	\$25,734
2	3	4	4	3	Pharmacology	MEDICINE - BASIC	\$17,666	2.5%	\$17,241	7.9%	\$15,975	-7.8%	\$17,323	-9.0%	\$19,040
3	4	3	2	2	Psychiatry	MEDICINE - CLINICAL	\$15,761	4.4%	\$15,099	-23.8%	\$19,808	-10.9%	\$22,222	-8.5%	\$24,273
4	2	2	3	4	Institute for Hlth Research & Policy	PUBLIC HEALTH	\$15,534	-18.6%	\$19,083	-10.6%	\$21,347	9.2%	\$19,540	10.0%	\$17,761
5	7	6	6	10	Computer Science	ENGINEERING	\$8,279	-0.4%	\$8,316	-10.6%	\$9,304	9.4%	\$8,502	31.1%	\$6,483
6	11	9	9	7	Institute Disability & Human Development	APPLIED HEALTH SCIENCES	\$7,410	29.8%	\$5,709	-19.7%	\$7,105	1.0%	\$7,038	-10.0%	\$7,818
							\$1,744	23.0%	\$1,418	-3.3%	\$1,466	-35.3%	\$2,267	-20.9%	\$2,866

By parceling out Centers/Institutes from Academic Departments, Expenditures can be double counted and attributed to both Academic units and then Centers/Institutes in a separate table.

4	2	2	3	4	Institute for Hlth Research & Policy	PUBLIC HEALTH	\$15,534	-18.6%	\$19,083	-10.6%	\$21,347	9.2%	\$19,540	10.0%	\$17,761
6	11	9	9	7	Institute Disability & Human Development	APPLIED HEALTH SCIENCES	\$7,410	29.8%	\$5,709	-19.7%	\$7,105	1.0%	\$7,038	-10.0%	\$7,818
9	6	5	5	11	Learning Sciences Research Inst	LAS	\$6,663	-27.8%	\$9,226	-11.3%	\$10,396	13.3%	\$9,173	45.4%	\$6,310

Human Resources	Initiatives and actions that should be continued or immediately implemented	
	HR1	If current organization structure is retained, there should be more coordination between all HR-type entities.
	HR2	Create a common portal for all HR related information and expanded to include: Faculty Affairs, Access and Equity, Student Employment, and International Services
	Initiatives that will require planning, consultation, and additional expertise	
	HR3	Examine fragmentation of HR structure and reporting to include best practices and learning from systems that work well in other public universities with academic health centers
	HR4	Explore all HR related policies and procedures to ensure bureaucratic policies and procedures are not imposed beyond what is required by law, university statutes, or civil service system requirements
	HR5	Foster open communication with State University Civil Service System to continue efforts that will allow improved hiring procedures and flexibility for grant-funded positions
	HR6	Create a pool of academic professionals available to other units due to position elimination and length of notice rights
HR7	Completion of job analysis in a transparent manner and which achieve consistency within and across units causing minimal disruption to units.	

Business Processes	Procurement	
	BP1	Consider review of procurement process by Business Process Improvement (BPI)
	BP2	Prioritize and review of comprehensive revenue cycle management by University Procurement Source to Pay Process Analysis and Improvement
	Grant Pre and Post Award Process	
	BP3	Conduct detailed review of systems and structure that support grants' pre and post awards
	BP4	Request exemption to hiring freeze for essential operations including the Grants and Contracts Office
	BP5	Incentivize the leadership of the Office of Grants and Contracts and Research Services to communicate and collaborate more effectively
	BP6	Reassign or hire UIC representatives in UA level units, such as Benefits, Payroll and Accounts Payables
	BP7	Assess whether combining the two payroll cycles and payroll adjustment schedule to bi-weekly payroll could yield savings.
	BP8	Create shared service or hub for research administration to provide faculty with greater support and access to subject matter experts
	BP9	Create a central Federal Contracts Specialty Team of pre-and post award experts to provide co-management and assistance to Principal Investigators
	BP10	Develop robust research administration onboarding program
BP11	Develop analytical model to determine optimal research administration staffing levels	
BP12	Develop more programs to help research investigators aggressively seek awards	

Research Administration	Grant Proposal Submission and Grant Management	
	RA1	Streamline grant application submission through paperless electronic submission with electronic routing (no wet signatures)
	RA2	Simplify pre-award budgeting process by reducing the need for budget detail at time of submission
	RA3	Create budget templates for major funding agencies that allow auto-population with fringe rate and salaries
	RA4	Create Indirect Cost Recovery standards or general formula for purposes of transparency that is fair to departments, colleges and centers/institutes
	RA5	Increase standardization and transparency in ICR. Create an electronic form for ICR calculations
	RA6	Examine process of grant financial audits and consider including more campus oversight and involvement
	RA7	Review policies on tuition remission to maximize recovery on Federal grants
	RA8	Allow Banner salary data to automatically download into electronic system for proposals and budgets is built
	RA9	Streamline contract assignment and allow transparent tracking of current status and follow-up of contract negotiations
	RA10	Establish uniform coding of grant proposals for faculty with affiliation to academic departments before submission to sponsors
	Research Development and Research Support	
	RD1	Establish vigorous and effective office of research development that is charged with preparation and effectively meeting challenges for extramural funding opportunities
	RD2	Enhance government relations to identify opportunities for government-university research partnerships
	RD3	Provide annual report assessing efficiencies and cost deficits with recommendations for continued or discontinued support for each Research Resource Centre (RRC) unit based on dollar recovery and funded projects
	RD4	Reassign reporting of Office of Technology Management from Vice President for Research to UIC oversight
	Research Compliance	
	RC1	Improve IRB educational and training efforts to increase educational efforts (students and fellows)
	RC2	Improve IRB protocol submission and review process through development electronic IRB review comments, simplification of review of exempt protocols, and implement user-friendly electronic forms

Centers and Institutes

- CI1 Determine if centers/institutes focus continues to be aligned with UIC strategic goal by conducting a survey of centers/institutes leadership utilizing the Survey Research Lab
- CI2 Office of Programs and Academic Assessment (OPAA) should begin assessment in year 6 to meet IBHE 8-year review rule. IBHE accredited centers/institutes should undergo midterm review every 3 years
- CI3 Assess status of each centers/institute and screen IBHE accredited centers versus others. Evaluation of centers/institutes should be part of 5 year department head or dean reappointment evaluation
- CI4 Create Indirect Cost Recovery standards or general formula/criteria for purposes of transparency and fairness to departments, colleges and centers/institutes
- CI5 Establish uniform coding in Banner and in the OVCR's pre-award electronic system for grant proposals for faculty with affiliations to academic departments before submission to sponsors

Centers/Institutes as a Broader Resource to UIC

- CI6 Create a Committee of Center and Institute Leadership co-chaired by Provost and Vice Chancellor for Health Affairs to enhance visibility and vitality of Centers and Institutes and increase collaboration and partnerships. This proposal would be a 3-phase pilot project over 18 month period.

Strategic Resources

Cost Containment

- SR1 Migrate some off campus leases back to campus
- SR2 Invest in restroom fixture upgrades to include 270 toilets in medium to high traffic areas
- SR3 Retrofit all exterior lighting on East campus with LED lights
- SR4 Develop single desktop/copier printing program
- SR5 Allow departments to self-manage certain small projects with a value of less than \$10,000

Employment Policies and Processes

- SR6 Review of civil service bumping policy and how policy can be changed to adapt to changing realities of employment structures
- SR7 Reduce length of paid salary and benefit offered at employment termination for academic professionals and align practice with common business practices for severance packages and timelines
- SR8 Investigate conversion of one payroll schedule to be in line with other as possible cost savings

International Services

- SR9 Evaluate the consolidate and migration of International Visa Processing to central office housed in Office of International Services

Academic Computer and Communications

- SR10 Develop and implement strategy to provide adequate funding for ACCC operations, while concurrently working with ACCC to identify cost savings and efficiencies
- SR11 Implement electronic document management (laser fiche) system to increase efficiency in management of documents and decrease paper processing procedures

Relationship to University Administration

- SR12 Examine UA structure and its effects on campus abilities to address issues and processes
- SR13 Create an efficient and transparent contracting process that will enhance UIC's education and research enterprise