

***Unit Name: Office of Research***

- 1. Academic Units:** Please provide a 1-2 page description of how your unit will fund growth plans identified in the Annual Academic Plan workbook through current or anticipated incremental revenue to your unit. Please provide specific fund source names and projections (in dollars). If these plans assume additional Provost Reinvestment Funds (supplement), please make that clear in this section.
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N/A

- 2. Academic Units:** If you are recommending the creation of a new tuition category, please identify the original tuition category, the proposed category, a suggested tuition rate for FY14 and a percentage increase for FY15. If you plan to move only a subset of your programs into a new category, please identify those programs.
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N/A

- 3. Administrative Units:** Please provide a 1-2 page overview of your current strategic plan and include a summary of any operational risks that the UW must work to mitigate over time. Note that there are very few Provost Reinvestment Funds, so your summary should provide a clear sense of how your unit intends to minimize risk, maximize service, and if necessary, repurpose existing funds to do so.
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### Office of Research FY14 Strategic Goals

Since the heart of every premier research university is its top faculty, OR is focused on creating a positive researcher-centric environment that supports recruitment and retention of faculty involved in externally funded research with an emphasis on quality. Our explicit overall goal is to make the UW one of the best universities in the country to carry out high-level research. We make progress towards that goal by developing researcher-centric support services through our iSTAR initiative (improving Service to Advance Research) and the Research Roadmap IT project, and by partnering with dean's offices and other academic support offices on faculty initiatives.

As federal funding decreases, it is important that the UW become even more competitive for external funding. Our focus this year is on collaborative research, as this is our strongest niche and increasingly, where new funding exists.

#### ***Goal 1: OR Continual Process Improvement and Organizational Development***

Since 2007, the Office of Research (OR) has administered a strategic and organizational improvement initiative called iSTAR ("Improving Service to Advance Research") in order to transform our climate, processes, service, and interactions with our process partners and key stakeholders. Our vision is: "The Office of Research will create an outstanding climate of support for University of Washington researchers, broadly enabling stellar research advances." The anticipated outcomes of these efforts are: to enhance service levels to researchers and their support staff; to increase efficiencies within OR; and to ensure that OR provides a working climate that is supportive to staff, and offers development and growth opportunities where possible.

Our overall strategic goals are fully aligned with 2y2d strategic goals and guide our overall decision-making, process improvement efforts and priorities, and individual unit goals:

- Add value to the overall research experience
- Achieve operational excellence
- Attract and retain top diverse staff
- Add value to the UW

#### ***Goal 2: Increase the number of funded large, collaborative projects (award >\$25M).***

The UW currently has ten of these large collaborative projects, but given the size of our research enterprise, we could accommodate several more. The opportunities for such programs are increasing, both from federal and non-federal sources. We propose to take a proactive approach to increase the number of these awards.

- 1) **The Complex Proposals Management Group**, launched last year as a pilot to support proposals for large collaborative projects, is expanding to accommodate high demand. In FY 12, the CPMG supported 5 preproposals and proposals. Three of those were either funded or chosen to move to the next level of competition. **FY14 Goal:** Enable at least 10 proposals in FY14.

2) **Create a networks/big data-focused initiative.** Work with deans offices and faculty to combine three very large collaborative networks-focused projects that involve large data analysis (Smart Grid, Data Security, Regional Scale Network) under a networks umbrella to leverage expertise and resources. Enable interactions and leverage between all three groups, taking advantage of the expertise in the eScience Institute and the proposed Joint Computing Institute with PNNL. **FY 14 Goal:** position this group to compete for a large collaborative project in the Big Data/Energy/Environment interfaces.

3) **Create a Research Innovation Institute** framework to enable collaborations. Leveraging faculty expertise broadly across campus, develop a framework for a Research Innovation Institute, which would enable faculty to develop collaborations with other UW faculty and/or with outside entities (private sector, foundations, community groups, etc.) that are both timely and strategic. **FY14 Goal:** deliver a white paper, outlining the Institute concept, with timelines and costs.

***Goal 3: Leverage available resources to recruit and retain the very best faculty***

Increasingly, the greatest difficulty the UW faces is the ability to generate recruitment or retention packages competitive with other top universities. We propose to strategically focus our available recruitment and retention resources (both UW and non-UW programs), leveraging funds to the greatest extent possible including cluster hires and strategic areas of focus. In addition, we will work with Advancement on creative approaches for fund-raising to support faculty quality. **FY14 Goal:** Successful partnering with dean's offices and Advancement in cluster hires and/or areas of focus to recruit and/or retain faculty equivalent to the very best currently at the UW.

***Goal 4: Create time for researchers to focus on research projects.***

Using a combination of automation (via the Research Roadmap projects) and process streamlining (via the Organizational Effectiveness Initiative), decrease the time required for researchers to carry out their administrative responsibilities with regard to their research programs. **FY14 Goal:** decrease average administrative time required by 10% (by about 2 hr/week), despite increased regulatory mandates.

***Operational Risks***

**New Mandates and Other Work:**

- **FCOI:** All PIs with Public Health service funding (including NIH), are mandated to report all identified significant financial interests greater than a \$5K value. Furthermore, travel sponsored by an outside entity where travel costs are either reimbursed directly to the PI or paid ahead of the travel for the PI, and is related to the PI's institutional duties must be disclosed by the PI. We anticipate other Federal funding agencies to adopt these regulations as well, which will impact workload for campus and for the Office of Research. In response to this mandate, OR has built a system to minimize workload impact to campus and OR units.
- **Outside Work for Compensation:** The Office of Research is planning to take on the review and processing of Outside Work for Compensation. This will greatly impact the workload for the office as it involves coordination across offices and significant work to automate the process. The new Associate Vice Provost for Research, Joe Giffels, will lead this effort.
- **Federal Reporting:** Plans are moving forward within the federal government to require quarterly reporting for all federal grants and contracts. Depending upon how this is implemented, it will represent a significant

increase in workload for ORIS and other units that provide data for such reports. OR has launched a task group to consider reporting solutions and provide recommendations.

### Human Subjects Division

- **Internal Compliance with Federal Regulations** - HSD underwent three not-for-cause audits in 2012. In response to the audits, HSD is improving
  - IRB member availability and expertise
  - Training of new and existing staff
  - Policies, procedures, and guidance
  - Tracking methods used to ensure IRB requirements are met
  
- **Changes to the federal human subjects regulations**
  - Background**

In July 2011, our federal agency announced possible wide-sweeping changes to the federal human subjects regulations. The actual revisions have not yet been released for public comment. The earliest implementation date of any changes is likely to be no earlier than the second half of 2014.
  - Implications for FY14**

Depending upon the nature of the changes, HSD will need one to five FTEs to implement the changes. Some of these would be temporary. However, there is no need to request additional positions in FY14 for this initiative. We expect to rely heavily on any HSD budget carryover for the temporary positions.
  
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HSD will use temporary funding to hire staff to respond to these changes if they occur during FY14.

### Office of Sponsored Programs

**Federal Budget Control Act/Sequestration:** If sequestration is implemented, it is likely to increase the numbers of proposals submitted in FY14, as faculty losing funding increase submissions. Using carryover funds, OSP will hire a few staff on a temporary basis to assist with this should it be necessary.

**Leadership Transition:** OSP has had an Interim Director since Lynne Chronister left in August of 2012. OR is currently in the process of hiring a new director. The transition of leadership presents great opportunities for growth and new vision for the organization, as well as the challenges of developing new relationships and understanding current processes and policies.

- 4. Academic and Administrative Units:** Considering your strategic plans (particularly if they assume growth) please provide a short summary (1-2 pages at most) that relates these plans to your current space assignment. In particular, you might consider the following questions when drafting your response:
- Does your current space inventory meet current programmatic requirements? Contrarily, does the type or quality of the space place any constraints on your ability to meet program requirements? If not, please provide specific quality or space type concerns (location, specific quality concern, etc.).
  - Will your unit be able to accommodate your growth plans within existing inventory of space? If additional space will be necessary, please describe the amount, type, or quality of *additional* space you may need to meet programmatic objectives and growth plans.

In general, the space allocated to OR has been well-utilized, although we have had to and will in the future, reconfigure existing space to accommodate growing needs. However, we would like to request that OR be granted access to the training space on the north end of Floor 17 at the Tower, where both HSD and OSP are housed. It has been solely accessible to the School of Medicine since the move to the Tower. This space would greatly help OR units when internal and external (campus) training and staff meetings are being conducted. It is difficult to find training adequate training space across campus and in the Tower, and the training space on Floor 17 is not fully utilized.

- 5. Academic and Administrative Units:** Should the 2013 Legislature lift the ongoing salary freeze and allow increases, we certainly hope that state funding will be provided for GOF increases. In the event that state funding for compensation is not available, all units should have plans to cover GOF/DOF salary increases out of tuition or other fund sources. Should no tuition revenue be available to your unit, Provost Reinvestment Funds may be dispatched to provide support for increases. Please provide your units' plans to cover expenses associated with salary increases. A salary and tuition revenue model is available on the OPB website; this model is designed to give you a sense of the magnitude of the support that will be required at various percentage increases.

The table below represents two scenarios for raises for staff/faculty in the Office of Research (classified staff with a 2% raise and faculty/staff with 3% or 5% increase). Because OR's core units are not revenue generating units, these raises would have to be funded with Provost Reinvestment Funds.

**Salary Data Table:**

Employee Type	Base Salaries	Scenario 1			Scenario 2		
		%	Salary \$	w/Ben	%	Salary \$	w/Ben
Faculty	361,044	3%	10,831	13,777	5%	18,052	22,962
Classified Staff	1,225,776	2%	24,516	33,758	2%	24,516	33,758
Professional	5,509,332	3%	165,280	221,475	5%	275,467	369,125
<b>Totals:</b>	<b>7,096,152</b>		<b>200,627</b>	<b>269,010</b>		<b>318,034</b>	<b>425,846</b>

*Note: assumes non-union classified staff receive a 2% increase*

- 6. Academic and Administrative Units:** Your unit may have identified growth plans in the Annual Academic Plan workbook; if so, as part of question 1 your unit should have included a description of the funds necessary, including Provost Reinvestment Funds, to support such growth. For this section, however, please provide specific requests of Provost Reinvestment Funds for new initiatives. Please provide a one-page summary of these requests, articulating how much funding is requested by an initiative, whether temporary or permanent funds are requested, and how the funds would be spent (new positions, systems, etc.).
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**HSD**

**Research Roadmap** - This HSD Research Roadmap initiative is already underway in partnership with ORIS. We expect to make the “build or buy” decision regarding an electronic HSD system in mid-2013, to purchase or develop the e-system during FY14. The purchase or building of a system is not currently funded within the Research Roadmap project.

Unfortunately we cannot provide a solid estimate on the cost of this system because the costs vary depending on whether we build the system or purchase from a vendor. Our current best estimation is a total of \$700K of temporary funds - \$350K/yr for two years (\$50K/yr for a basic system and \$300K/yr for FTE to install and roll out the system). However, final costs will be determined by the “build or buy” decision that will be made by the Research Roadmap’s Executive Sponsors. Additionally, there will likely be other funding needed to preserve/enhance the system on an ongoing basis. We anticipate that replacing HSD's paper-based manual system will save researchers and research administrators significant time, as well as the HSD staff thereby increasing FTE capacity. This is a major step towards full implementation of the Researcher's Portal.