

Administrative Unit Name: Office of Research

1. One goal of the budget development process for administrative units this year is to provide greater understanding of the connection between resource use and the primary, or core function by each part of the administrative structure. To begin, please paste a copy of your organization chart here. Please provide a chart that reflects the diversity of the organization and will serve as a sensible platform to complete the next question.

Because administrative units have a month and a half to complete this work, unit leadership should use their discretion in providing a level of detail that prompts a rich conversation, but is not overly burdensome.

See Attached PDF

2. In order to provide a snapshot of current activities, the distribution of resources across various functions and how much these activities contribute to the University's mission, please provide information about the functional areas, or departments, of your organization.

At a level of granularity that reflects your organization's chart or if no chart exists, the functional areas of your organization, **please provide the following information for each functional area via the "FY15 Expenditures Worksheet" tab of the "Worksheets and Reference Materials – Administrative" Excel workbook**, available here: [https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets and Reference Materials Administrative.xlsx](https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets%20and%20Reference%20Materials%20Administrative.xlsx).

Answer:

The Office of Research has five major units that contribute primarily to the research mission of the University but also impact the teaching and service missions:

- The Vice Provost for Research and Associate Vice Provosts participate in campus-wide initiatives and on a national level, to enhance the researcher's experience.
- We manage financial conflicts of interest, outside work requests, Bridge, RRF and Innovation funding and Limited Submissions.
- We ensure compliance with the federal requirements for federally-supported human subjects research, including management of the Institutional Review Board (IRB) process, federal registration of clinical trials, and research use of protected health information.
- We leverage technology, data, information and collaboration in an innovative environment to support research capabilities at the UW, while furthering the research enterprise through national partnerships.
- We provide expertise and effective partnership with the faculty and departments in proposal review and submission, award receipt/acceptance, contract development and negotiation, sub-award development, including issuance, negotiations and execution to ensure adherence to prime award terms and conditions, compliance requirements including export controls, and to mitigate risk.
- APL, national center for advanced science and engineering research and development and education, and supports Undergraduate and Graduate researchers through individual grant and contracts of APL-UW scientists and engineers.

See the first tab of the attached excel document for a unit by unit breakdown.

3. In less than 200 words, please describe how you envision adapting your unit and its organization to meet changing institutional needs in the coming fiscal year. Please integrate self-sustaining, grant & contract, and philanthropic sources of funding (if applicable to your unit) and describe how these sources are marshalled to subsidize your activities.

Answer:

The OR is working on a number of initiatives that will help us achieve organizational excellence, reduce the administrative burden on researchers, and foster collaboration. Research Roadmap activities (funded on BT 05s), including the HSD electronic submission system (carryover) will replace numerous paper processes and improve the research experience. Additionally, we will continue to invest in researcher profile capabilities (gift, BT 05s, and carryover funds), process improvement efforts through RAPID (carryover), and internal grant funding initiatives (e.g. RRF and Bridge –funded on BT 05s).

4. In one paragraph or less, please assess the functional and financial health of your unit since FY09 (e.g. deficits, workforce capacity, declining grants or gifts).

Answer:

Since 2009, the Office of Research functionally, has taken on many responsibilities, due to both Federal and University changes, including oversight of APL, Outside Work, new mandates around Financial Conflict of Interest, ARRA and Federal reporting. Furthermore, we have taken on additional responsibilities for developing technological solutions supporting research and non-research services. Although most of these changes have been supported by some increased permanent funding, OR continues to require temporary funds to support several positions in the organization, which is only sustainable in the short-term.

5. In the event that neither state funds nor additional Provost Reinvestment is available for compensation increases, how might your unit cover salary increases for positions budgeted in GOF and DOF budgets? Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development>.

Answer:

The Office of Research would have to put a combination of actions into place including:

- Restrictions on travel and conference attendance
- Reduction in professional development opportunities and training
- Potential freeze of open positions
- Potential freeze of in-grades and promotions for professional staff
- Potential layoffs

These actions would result in a substantial decrease in services to researchers, and risk minimization could be compromised.

6. This summer, the UW has been the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit has revealed the importance of monitoring expenditures against budgets on a biennial basis, ensuring that colleges, schools and administrative units have plans to spend fund balance in a reasonable and mission-driven manner and that these plans are acted upon. As such, we are piloting a new administrative carryover policy for the FY16 budget process, though we will employ draft carryover data in executing this pilot.

In completing this work, please do the following, using the “**Carryover Worksheet – Detail**” tab of the “**Worksheets and Reference Materials – Administrative**” Excel workbook, which is provided at the following web page:

https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx.

Answer:

See the 2nd tab of the attached excel workbook

7. Though we believe that few, if any, state funds will be available and that any new Provost Funds may be dispatched for mitigating cuts or providing salary increases, please indicate what **Provost Reinvestment Funds are being requested**. Requests for funds should be identified by a unique title, accompanied by the amount requested, the year funding is requested, whether the request is for permanent or temporary funds, the number of years funding is needed in the case of a temporary request and a brief description, not to exceed 500 words. **Successful requests will make meaningful contributions to institutional strategic plans, drive student support and student service**

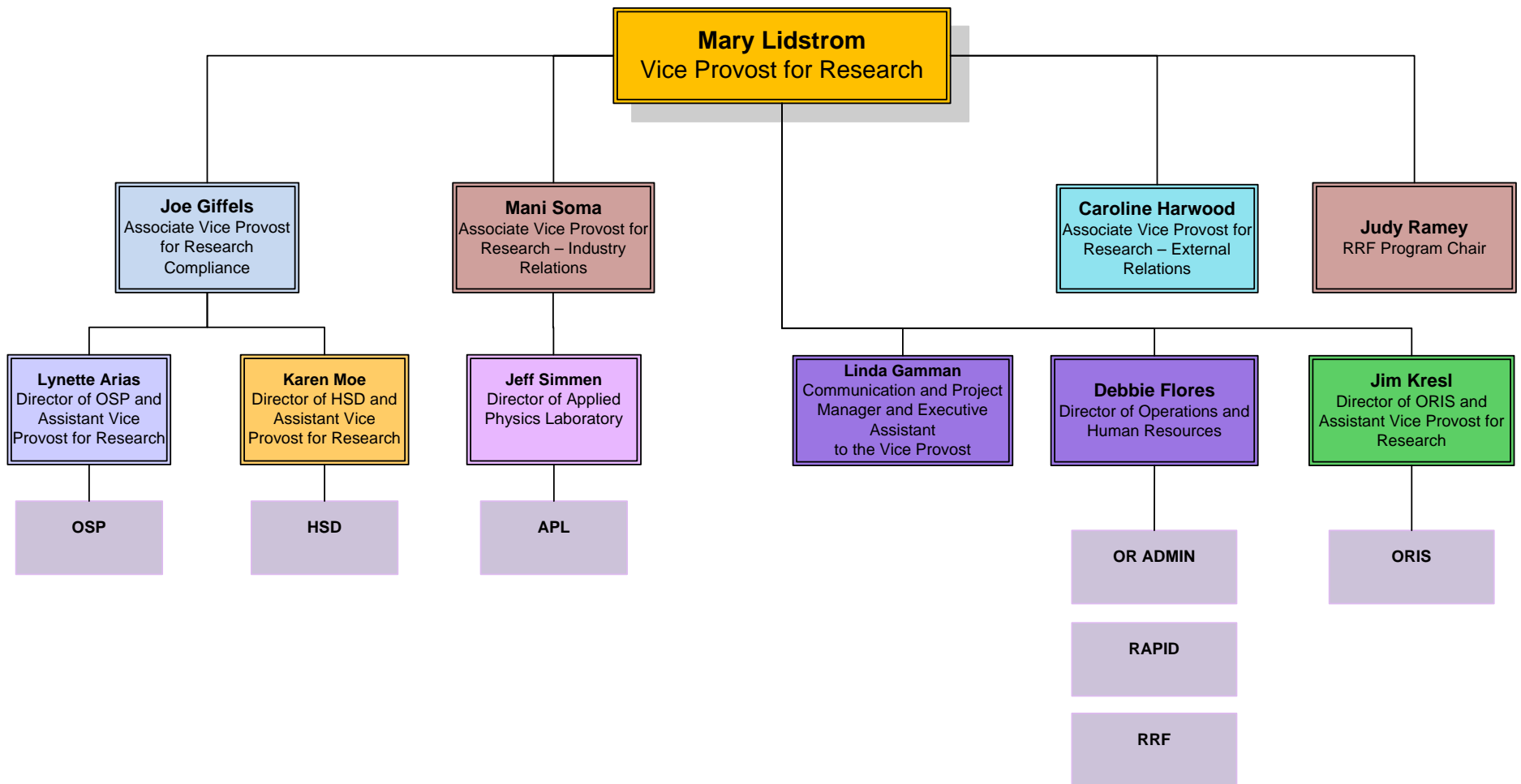
missions, and correlate directly to the long-term financial health of the University or its efforts to mitigate institutional risk.¹

Importantly, requests for new funding will be considered alongside carryover spending plans. Administrative units with growing temporary fund balances will be asked to explain why new funding is needed to support mission-critical program enhancements.

Answer:

The Office of Research is not asking for new reinvestment funds. We do request the continuation of backfilling temporary money, the payments to the Fred Hutch's IRB, and to be allowed to use any additional carryover for new expenses such as work on the Researcher's Portal and the new e-IRB system.

¹ Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University's Sustainable Academic Business Plan goals and top institutional risks.



Office of Research
Organization Chart 11/10/14

FY15 Administrative Expenditures by Functional Area

At a level of granularity that reflects your organization's chart or, if no chart exists, the functional areas of your organization, please provide the following information for each functional area using the template(s) below:

- a) A description not to exceed 200 words of how each functional area contributes to the University's research, service and teaching missions and what risks the University would face if this work were no longer funded[1].
- b) Planned expenditures, by functional area, of how your unit intends to spend permanent ABB funds, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY15.

Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY15, etc. Please see the example "Admin Template - Planning & Budgeting Draft," which is provided at:

<http://opb.washington.edu/content/fy16-budget-development>

[1] Please refer to the webpage above for more information about the Sustainable Academic Business Plan goals and top institutional risks

Name of area: Office of Sponsored Programs (OSP)

A centralized office with advanced level expertise supports the appropriate institution level proposal review, ensuring the submission of complete, accurate and fully compliant information to ensure acceptance and review by sponsor and also increase the probability of proposals being awarded. OSP is the designated office to both submit proposals for the university and also accept awards and negotiate any agreements with sponsors on sponsored projects. Having these functions centralized provides strong risk management, consistency and a highly developed and experienced staff for the faculty and departments to rely on. All subawards under sponsored projects are issued, negotiated and executed by OSP to ensure adherence to prime award terms and conditions, appropriate compliance requirements and risk management procedures. In addition, OSP handles Export Controls functions for research grants. The university would face the risk of decreased funding and decrease in compliance with sponsor requirements were these functions not to be funded centrally, and greatly increased burden to the academic units.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	40.80	\$ 3,517,578	\$ 84,000
Self-Sustaining Funds (BT 10, 11)	0.00	\$ -	\$ -
Grants & Contracts (BT 05)	13.80	\$ 1,105,000	\$ -
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 3,000
Total	54.60	\$ 4,622,578	\$ 87,000

BT = Budget Type

Name of area: Office of Research Information Services (ORIS)

ORIS leverages technology, data, information and collaboration in an innovative environment to support research capabilities at the University of Washington, while furthering the research enterprise through national partnerships. Solutions are delivered to streamline research administration and support high-impact and responsible research, compliance, collaboration, transparency and efficiency. ORIS delivers research enterprise value with quality, tested solutions through broad capabilities within technology management including portfolio and program management, software design and development, system architecture, data-driven decision making and business analysis. In this era of electronic research administration and reporting, the research enterprise could not function within federal guidelines without the support of this unit. The sheer size of the UW research portfolio makes manual processes infeasible and prone to errors while increasing risk of noncompliance.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	29.00	\$ 2,678,587	\$ 287,500
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)	30.00	\$ 3,374,198	\$ 274,919
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 2,471
Total	59.00	\$ 6,052,785	\$ 564,890

BT = Budget Type

Name of area: Human Subjects Division (HSD)

HSD's primary purpose is to ensure compliance with the federal requirements for doing federally-supported human subjects research. This includes management of the Institutional Review Board (IRB) process, federal registration of clinical trials, and research use of protected health information. Without IRBs and the formal assurance of compliance, the UW would not be awarded any federal funding for human subjects research. Other HSD research-related roles include: managing compliance with state requirements; participation in institutional risk management activities; management of internal and external complaints, allegations, and inquiries. HSD contributes to undergraduate and graduate student education through numerous classroom presentations, individual consultations on student research projects, and opportunities for IRB observation or participation. Collectively, these activities facilitate the protection of human subjects and promote the ethical conduct of research.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	43.00	\$ 2,782,984	\$ 170,097
Self-Sustaining Funds (BT 10, 11)	0.00	\$ -	\$ 10,000
Grants & Contracts (BT 05)	7.00	\$ 620,000	\$ -
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 4,500
Total	50.00	\$ 3,402,984	\$ 184,597

BT = Budget Type

Name of area: Applied Physics Lab (APL)

The Applied Physics Lab (APL) is a national center for advanced science and engineering research and development and education. APL has developed an international reputation for its broad based programs in science, engineering and for designing, building and deploying the advanced technology required to meet the research needs of numerous government and commercial sponsors. APL researchers collaborate with other academic departments on campus and a number of PI's have appointments in these departments. APL does not grant degrees but they support undergraduate and graduate researchers through individual grant and contracts awarded to APL-UW scientists and engineers. The majority of funds supporting APL efforts comes from Grants & Contracts. Without APL, the UW would not have these research projects taking place.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	1.74	\$ 1,543,955	\$ 260,000
Self-Sustaining Funds (BT 10, 11)	2.58	\$ 185,104	\$ 147,433
Grants & Contracts (BT 05)	275.98	\$ 43,050,000	\$ 33,675,000
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ 5,698	\$ 21,174
Total	280.30	\$ 44,784,757	\$ 34,103,607

BT = Budget Type

Name of area: Office of Research Central (ORC)

The Office of Research Central (ORC) manages financial conflict of interest, outside work requests, UW internal funding opportunities (Bridge, RRF, and Innovation funds) and limited submissions. Additionally, ORC provides high-level oversight of

all OR units as well as management of centralized administration functions such as payroll, HR, and budget development. ORC partners with all the OR units to manage our organization development initiative (iSTAR), produce research metrics and statistics, track projects and generally lead process improvement efforts. ORC also works with other research support units on strategic planning and process improvement initiatives. In addition, ORC works with deans offices on a variety of research-related policy issues as well as on startup and matching packages.

Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	23.00	\$ 2,947,000	\$ 618,000
Self-Sustaining Funds (BT 10, 11)	0.00	\$ -	\$ (6,000)
Grants & Contracts (BT 05)	2.00	\$ 261,000	\$ 8,000
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 74,500
Total	25.00	\$ 3,208,000	\$ 694,500

BT = Budget Type

Administrative Unit Carryover Usage Plan SUMMARY

This table will self-populate via the "Carryover Worksheet - Detail" tab

Administrative Unit Name:	Office of Research
Estimate of Carryover Balance at "Close" of FY14:	3,722,000 *

Usage Category	Amount	%
Unit's Reserve	1,329,470	32.41%
Central Commitments	446,000	10.87%
Permanent Costs & Other Projects	2,326,000	56.71%
Total	4,101,470	100.00%

*Office of Research estimates that their carryover is actually closer to \$4.1M