

Administrative Unit Name: Office of Research

Please complete this Word document and the accompanying [Excel workbook](#), and submit them to the Office of Planning & Budgeting on or before **Friday, November 20**. Please email your materials to [Becka Johnson Poppe](#).

1. In spring 2015, Provost Baldasty initiated the Transforming Administration Program (TAP), which encompasses all central administrative units and focuses on fulfilling the need for greater collaboration, clear priorities, increased accountabilities, and elimination of unnecessary bureaucracy and redundancies.

Within a **500 word bulleted list**, please answer both of the following questions:

- **List 3-5 things your unit is doing to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service. Please be specific.**
 - **In what ways (if any) could your unit leverage activities of other central administrative units to increase efficiency within your unit and/or to streamline activities across the UW? Are there areas of overlap between your unit and another that prompt closer collaboration?**
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The Office of Research is currently engaged in a number of projects that align with TAP Principles and/or take advantage of our close ties with other administrative units. Virtually all of these projects touch all three core TAP principles (engage people, realize efficiency and effectiveness, deliver value).

- Transparency Project – a joint Researcher Portal effort among campus units ORIS, GCA, UW-IT and OSP to provide visibility to information as it relates to application submission, award status, and budget number assignment that PIs and Administrators need to efficiently move their awards through the business process.
- Zipline (HSD’s new electronic IRB System) –a Researcher Portal project scheduled to go live on 5/31/16. This system will contribute to standardization, reduce the administrative burden on researchers, eliminate a number of manual/paper-based processes, maintain our high compliance standards, and provide a rich data set for more effective data-based decision-making.
- Additional Researcher Portal projects – ORIS, partnering with major administrative units such as EH&S and OAW, is advancing the vision for modern, seamless administrative and compliance support for researchers and their work by evaluating and implementing a series of integrated system solutions available from a one-stop-shop web-based location.
- Collaborative for Research Education (CORE) – CORE is a partnership among OSP, ORIS, MAA, and GCA that is creating a comprehensive learning program on research administration to decrease administrative burden, ensure compliance, and eliminate duplicate coursework. Core provides training to all campus staff and faculty free of charge.

- ARIBA Subawards Module – Subawards management is a primary pain point for UW researchers and their administrators because the current process is not integrated into the existing research administration systems (SAGE and SPAERC). The current process requires additional data entry as well as redundant data entry and is not transparent to users. ORIS and OSP propose to design, build and deploy a solution that leverages existing functionality in SPAERC, enabling integration with parent eGC1s and Awards and Subrecipient data. The solution will support bilateral communication and collaboration between research teams and OSP staff throughout the life cycle of the Subaward, including modifications and closeout.
- Learning Management System (LMS) - Participation in a multi-unit UW working group to scope and implement a Learning Management System for use by central administrative units, particularly to meet the needs of those with compliance training (both required and non-required). As a group representing approximately twenty campus units, this group will leverage resources and knowledge to identify the scope, assemble an executive sponsor group, gather requirements for an LMS system, select the tool/vendor, identify business processes, implement the LMS system, and create a maintenance plan.
- Service Standards - In alignment with the Transforming Administration Program, OR has begun work on a project to identify and implement organizational Service Standards. Implementation will include processes that will improve our service to the UW community including etiquette (friendliness, knowledge), response times, and updated web contact information where needed. We will also institute a plan for feedback (of staff and campus partners) that dovetails with our existing customer surveys, and metrics based on our measurements and on survey feedback.

2. In 200 words or fewer, please **identify plans to adapt functions and services to support changing institutional needs in FY17.**

The Office of Research is dedicated to meeting the emerging institutional research needs at the UW by creating integrated systems solutions, fostering research collaboration, partnering with deans to recruit and retain top faculty, addressing new federal regulations, and maintaining operational excellence. Current plans/projects include:

- HR/P integrations with research systems (SAGE, SPEARC, and Zipline).
- Meeting the growing need for compliance with export control regulations.
- Improving the research experience through Researcher Portal activities, including HSD's electronic submission system (Zipline), will replace numerous paper processes. These roadmap projects will allow researchers and administrative staff to spend less time on administrative functions and will free up time for more value-added efforts.
- Continue to develop researcher profile capabilities to enhance collaboration opportunities and track research output (publications, speeches, and technology transfer).
- Leverage new donor funds to improve faculty recruitment and retention.
- Support the GIX initiative to facilitate novel partnerships.
- Continuing work on OR's Improving Service to Advance Research initiative (iSTAR) dashboard to provide transparency and measurements on customer service, operational excellence, staff learning/development, and resource optimization.

3. **Please identify any significant obstacle(s) or challenge(s)** that your unit faces other than resource constraints. **Please plan to discuss these with the Provost.** If applicable, please summarize any operational risks that, from your perspective, the UW must work to mitigate over time.

Obstacles and challenges:

- Increased and/or changing federal regulations, including regulations that govern human subjects. Of the five primary sets of federal regulations that govern human subjects research, the proposed revisions for one set were published in September 2015, and the other four are said to be under active revision, with release planned for some time in 2016.
- Legacy ERP systems and system integrations of replacement systems including HRP, financial, etc.
- Lack of well-supported, secure data storage space for researchers that is compliant with federal security and privacy regulations and can be managed in a way to allow public access to some portions of the data sets.

- Increased number of unique research sponsors, particularly from industry. Each sponsor has distinct proposal processes, contract requirements, and negotiation processes. These differing requirements demand considerably more effort than standard federal proposals (e.g. NIH, NSF).
 - Competition with the local tech industry for technical human resources. This causes higher rates of attrition and elongated recruitment times with lower productivity and higher costs. The limited amount of IT payroll titles makes it difficult to conduct internal and external salary surveys to ensure our employees are compensated at a level commensurate with other UW units, peer institutions, and industry.
4. Though the Provost will soon be laying out requirements for FY17 merit increases, administrative units should begin to plan for a merit allocation equivalent to 90-95 percent of GOF/DOF merit pool. In other words, units should plan to receive less funding than may be necessary for a full merit increase, on average, for all GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy funds for merit increases in FY17.**
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Salary savings on vacant positions were enough to cover the 5% shortfall in FY 16. If salary savings are not enough to cover the shortfall in FY 17 then OR may have to take some combination of the following actions:

- Restrictions on travel and conference attendance
- Reduction in professional development opportunities/trainings
- Freeze on open positions
- Freeze on in-grade salary increases and/or promotions
- Potential layoffs (if drastic means are necessary)

5. As you may recall, in the summer of 2014, the UW was the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. The audit reinforced 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 ask that you update the carryover usage plan you submitted as part of last year's budget development process.** To do so, please **fill out the "Carryover Worksheet - Detail" tab** of the "FY17 Administrative Budget Worksheets & References" [Excel workbook](#) using:

- **The carryover plan you submitted last year, as a starting point, modified as needed.** If you need a copy of the plan you submitted last year, please email [Amy Floit](#) or [Becka Johnson Poppe](#).
- **New reserve figures**, as provided in the "Reserve Figures" tab of the aforementioned spreadsheet.
- **New carryover totals**, as provided in the "Carryover into FY16" tab of the aforementioned spreadsheet.

In the space below, please describe and explain any major change(s) to your carryover usage plan.

No major changes to OR's carryover plans. OR's carryover continues to be divided up into two major categories:

- 1) Applied Physics Lab (APL) – this funding represents ~61% of OR's total carryover. This money is used to provide startup funding for new researchers, provide department-level matching funds when required and to purchase items that are not allowed on pro-rated direct cost budgets (PDC budgets). The remaining funds act as a reserve for APL's very large research enterprise. APL's total carryover represents ~3.5% of their total FY 16 expenditures.
- 2) OR Admin Units – excluding carryover originating from APL and central commitments, OR's administrative units have a ~10% carryover rate. This money is being used to fund positions that are addressing workload and compliance issues in OR's major administrative units. See carryover worksheet for additional details.

6. The Provost will be making the decision to deploy *permanent* Provost Reinvestment Funds **primarily, if not exclusively, to cover for compensation increases. The only possible exceptions for permanent funds will be for critical compliance issues.** However, requests for temporary funds will only be entertained in areas of high institutional priority and in consultation with faculty, staff and students.

If you have a Provost Reinvestment Fund request that fits within these strict parameters, please describe it using the framework below.

- 1) Integration Architect and Integration Engineer for HRP and Finance Systems - \$330K of temporary funding starting FY 17. These positions will be responsible for ensuring architecture supports the integration of vendor and custom developed software solutions.
 - 2) Project Manager and Business Analysis for a "SWAT" team - \$200K of temporary funds starting FY 17. These positions are needed to manage new/additional federal reporting and compliance regulations. They are responsible for assessing the impacts to research administration and for developing cost-effective solutions.
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- 3) Post-approval monitor – \$99K of temporary funding starting in FY 17. This position will allow us to increase compliance monitoring on the more than 6500 active research studies.

These requests are in addition the ongoing funding scheduled for FY 17, including the Researcher Portal (phase 2 funding), FHCRC IRB agreement funding, and the backfill of temporary funding.

Administrative Unit Carryover Usage Plan DETAIL

Please use this template to update the carryover usage plan you submitted last year. If you need a copy of your plan from last year, please email Amy Floit (afloit@uw.edu) or Becka Johnson Poppe (jbecka@uw.edu). New reserve figures are provided in the "Reserve Figures" tab; new carryover totals are provided in the "Carryover into FY16" tab.

Administrative Unit Name:	Office of Research
Carryover Balance going into FY16:	\$ 3,934,918

Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual \$ Amount	Totals
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Unit's Reserve (10%)				
Reserves	FY17	1	\$ 8,705	\$ 8,705
Total Unit's Reserve:				\$ 8,705

Central Commitments		<i>e.g. FY17, FY18</i>	<i>e.g. 2</i>		
1. RAPID funds - transferred to OE	FY 16	1	\$ 191,495	\$ 191,495	
2. (description)			\$ -	\$ -	
3. (description)			\$ -	\$ -	
4. (description)			\$ -	\$ -	
5. (description)			\$ -	\$ -	
<i>Add more lines as needed</i>					
Total Central Commitments:				\$ 191,495	

"Spending Plan" Permanent Costs & Other Projects		<i>e.g. FY17, FY18</i>	<i>e.g. 2</i>		
A. Permanent expenditures funded with temporary funds					
1. OSP - workload and compliance	FY 16	1	\$ 192,783	\$ 192,783	
2. HSD - workload and compliance	FY 16	1	\$ 364,467	\$ 364,467	
B. Possible multi-year commitments					
1. APL - Startup/Matching funds for researchers - dept. commitment	FY 16,17	2	\$ 230,425	\$ 460,850	
2. APL - Non PDC expenditures and reserves (only reserves available for APL's ~67M/yr total operation)	FY 16	1	\$ 1,706,618	\$ 1,706,618	
3. ORC - "Dean's level" commitment to APL matching funds	FY 16	1	\$ 250,000	\$ 250,000	
C. Immediate, current year use					
1 RRF grant program administration	FY 16	1	\$ 220,000	\$ 220,000	
2. Temporary funding for potential positions including IRB rules changes, eIRB (Zipline) deployment, subrecipient monitoring, and central IRB requirement	FY 17	1	\$ 540,000	\$ 540,000	
<i>Add more lines as needed</i>					
Total Permanent Costs & Other Projects:				\$ 3,734,718	

TOTAL CARRYOVER USAGE PLAN	\$ 3,934,918
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