

Administrative Unit Name: Office of Research

Please complete this Word document and the accompanying Excel workbook (both of which were provided to your unit via email), and submit them to the Office of Planning & Budgeting (OPB) on or before **Friday, November 18**. Please email your materials to [Becka Johnson Poppe](#).

1. In the **“Planned Expenditures”** tab of the Excel workbook, please provide the following information for each functional area of your unit: ¹
 - a) A description of how the functional area **contributes to the University’s missions** (research, service and teaching) and the risks the University would face if this work were no longer funded;² and
 - b) Provide information regarding your unit’s **projected FTEs and planned expenditures for FY17 and FY18**:
 - i) Expenditure estimates should be broken down by:
 - *Fund type*: permanent ABB funds (i.e. GOF and DOF, excluding carryover) and, if applicable, funds derived from self-sustaining efforts, grants and contracts, philanthropy, and other sources.
 - *Expenditure type*: salaries and benefits, goods and services, contractual services, travel, and other.
 - ii) 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 FY17, etc. Also, please explain the “other” category, if you put expenses into that column.

For guidance, please see the example posted at the [FY18 Budget Development webpage](#).

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¹ “Functional area” is most easily described as a level of granularity that reflects your unit’s org chart and is reconcilable to your unit’s organization code structure. However, if this results in an unwieldy number of “functional areas” for your unit (i.e. more than 7 or 8), please note this in your materials and provide a more manageable level of granularity. As a general guideline, we anticipate 3-7 functional areas per unit.

² Please refer the following document for more information about the [University’s Sustainable Academic Business Plan \(SABP\) goals and top institutional risks](#).

2. A number of variables (e.g. the outcome of the 2017 legislative session) will heavily influence the availability of funds for FY18 merit increases. Despite these unknowns, planning for compensation increases has no doubt begun already. Units should plan to receive less funding than may be necessary to implement the full average merit increases for GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy existing resources, establish new revenue streams (if applicable), and/or pursue additional efficiencies to support merit increases in FY18. Please respond in 300 words or fewer.**
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Salary savings on vacant positions were enough to cover the shortfall in FY 17. If salary savings are not enough to cover the shortfall in FY 18 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)

3. 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, clearer priorities, increased accountability, and elimination of unnecessary bureaucracy and redundancies.

Please answer the following questions:

- What are 3-5 new things that your unit is doing this fiscal year to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service? *Please respond within a 300-word bulleted list and please be specific.*
 - How can your unit collaborate with other units (academic and administrative units outside of your own) to be more effective and reduce costs? *Please respond in 200 words or fewer.*
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- **Zipline:** Human Subjects Division has embarked on a multi-year suite of projects to reduce administrative burden, create a positive experience for campus, and to maintain acceptable compliance standards. "Zipline," one of the projects in this suite, is an electronic IRB system that encompasses these high-level goals and launched campus-wide between May and November of this year. One of the biggest differences between the Zipline system and the paper-based IRB system is that the "back and forth" between researchers and the IRB about a specific application occurs largely within Zipline. Zipline will also support the collection of metrics useful to process improvement efforts.
- **Training Management System (TMS):** The eLearning Special Interest Group (SIG) met to gather requirements for the implementation of a Training Management System (TMS) for use by central administrative units to meet the needs of those with compliance training. This project will meet many of the TAP goals to eliminate redundant efforts, and to improve central administrative resources, while providing a high quality level of service to our staff and faculty including creating huge savings on FTE (removal of shadow systems and staff time to track

coursework). This project is in the analysis stage and a business case is being developed for our executive sponsors (Mary Lidstrom, Elizabeth Cherry, Phil Reid, and Dave Anderson).

- **Contact Page by Activity:** OR has designed a new way for our faculty, staff, and students to find the contact person or email address they need. Our new contact page is organized by activity and function. No longer do you need to search by unit, or guess by staff title to find contact information. You can put in your activity, program, etc. and it will give you the contact name and/or email address. This project was a direct result of feedback from the TAP survey. This will go live early in 2017 as part of our website redesign (also in-line with TAP goals).
- **TAP Initiatives:** OR is implementing TAP-driven initiatives including the Culture of Service Program and the TAP customer satisfaction survey of central administrative units.

Collaboration: OR has current collaborations with several units regarding the TMS and website redesign noted above, as well as collaborations with GCA (F2) to streamline the awards process. We are also working with the Graduate School, AHR and FCR on issues around post-docs.

4. Please describe **your unit's emerging or changing personnel needs**—prompted by changes that either your unit or the institution is facing—and **what your unit will do to meet these needs without creating new FTE positions** (e.g. redeploying FTE among other functional areas). *Please respond in 300 words or fewer.*

At your unit's meeting with the Provost, **please be prepared to discuss your unit's succession planning activities.**

Workload in the OR primarily changes for two reasons: 1) workload volumes from campus researchers and 2) evolving federal regulations. An outline of these changes is below.

Workload volumes:

While total award dollars have been relatively flat other workload metrics have increased significantly over the last five years. This includes:

- Proposal count up 7%
- Total dollars requested up 28%
- Contract proposals up 12% (more complex than grants)
- Unique sponsors on proposals – up 13%
- Awarded proposals with Human Subjects – up 8%
- Awarded proposals with clinical trials – up 28%
- Human Subjects minimal risk actions – up 10%
- Awarded Proposals with Security and Export Controls – up 73%

Changing Regulations:

There are a number of changing regulations, particularly in the Human Subjects area, that will greatly impact workload in the coming year(s). The biggest changes include:

- HSD - NIH change requiring Central IRB oversight at PI home institution requiring extensive negotiations of complex agreements as well as significant review, oversight, coordination and monitoring. If not implemented then UW researchers will be ineligible for certain large, complex sponsored projects.
- HSD - HHS is requiring significant changes to human subject rules requiring significant process/effort changes, campus outreach/training, as well as changes to our new eIRB system.
- OSP - Subawards (incoming or outgoing) account for over 20% of sponsored program funding. Outgoing subawards now require heightened oversight of subrecipient institutions, per federal regulation.

How we are addressing these changes:

We continue to maximize unit resources through effective use of salary savings (allowing units to over hire when anticipating turnover), process improvements (streamlining processes, effective reorganizations) and transitions to new electronic systems (electronic IRB system, HRP, etc). While these activities have allowed us to deploy some resources (~9 FTE) towards the emerging needs outlined above we expect it will not be enough to meet the total need. While we will continue to identify ways of improving our operations it will be difficult to redeploy enough existing resources to meet all these emerging needs without negatively impacting regulatory activities as well as core services provided to campus.

5. Please identify any significant obstacles or challenges 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. *Please respond in 300 words or fewer.*

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 2017. In addition, NIH has released three new policies that will be implemented in 2017 that create significant additional workload and processes for HSD.
- 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 standardized 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.

6. Please **update** the carryover usage plan you submitted as part of last year's budget development process.

If your unit has a **deficit** instead of a carryover, please confirm that you have an updated deficit mitigation plan in place with OPB. If you do not, please explain why.

See budget spreadsheet

7. For FY18, the Provost will be deploying *permanent* Provost Reinvestment Funds (PRF) primarily, if not exclusively, to cover compensation increases. Thus, **units are asked to limit PRF requests to temporary funding needed to address critical compliance and/or high institutional priority needs.**³

If your unit has a PRF request that fits within these strict parameters, please describe it in the "**PRF Request**" tab of the Excel workbook. Please also indicate what you are willing to commit as a match for PRF support.

In addition to our ongoing MyResearch Portal development needs, and the planned backfill of temporary positions, the Office of Research is requesting additional items on the PRF tab of the excel workbook. While we've listed these needs as permanent we understand that if these items are funded it is likely that only temporary funds will be provided.

³ Please refer to the University's [Sustainable Academic Business Plan](#) for more information about top institutional goals.

FY17 & FY18 Planned Expenditures - Administrative Units

Please use the fields below to provide information for **each functional area** of your unit. "Functional area" is most easily described as a level of granularity that reflects your unit's org chart and is reconcilable to your unit's organization code structure. However, if this results in an unwieldy number of "functional areas" for your unit (i.e. more than 7 or 8), please provide a more manageable level of granularity. As a general guideline, we anticipate 3-7 functional areas per unit.

For guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

BT = Budget Type OC = Object Code

NAME OF AREA: <i>Office of Sponsored Programs</i>						
<i>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.</i>						
FISCAL YEAR 2017						
Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	52.83	\$ 4,098,175	\$ 107,742	\$ -	\$ 36,000	\$ 2,000
Self-Sustaining Funds (BT 10, 11)	0.00	\$ -	\$ -	\$ -	\$ -	\$ -
Grants & Contracts (BT 05)	8.67	\$ 712,815	\$ -	\$ -	\$ -	\$ -
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 3,500	\$ -	\$ -	\$ -
Total	61.50	\$ 4,810,990	\$ 111,242	\$ -	\$ 36,000	\$ 2,000
FISCAL YEAR 2018						
Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	52.83	\$ 4,195,067	\$ 116,000	\$ -	\$ 40,000	\$ 2,000
Self-Sustaining Funds (BT 10, 11)	0.00	\$ -	\$ -	\$ -	\$ -	\$ -
Grants & Contracts (BT 05)	9.67	\$ 938,052	\$ -	\$ -	\$ -	\$ -
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 3,500	\$ -	\$ -	\$ -
Total	62.50	\$ 5,133,119	\$ 119,500	\$ -	\$ 40,000	\$ 2,000
<i>"Other" category is for shared leave - obj 21. Projections for FY17 are based on starting FY17 projections, but include actual expenditures through September 2016. Projections for FY18 are based on starting FY17 projections, plus all current staff at a full year (some hired after July 2016), hiring an Assoc D on the RRF and continuing with 3 student assistants.</i>						

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.

FISCAL YEAR 2017

Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	33.00	\$ 3,547,053	\$ 112,419	\$ -	\$ 20,415	\$ 4,000
Self-Sustaining Funds (BT 10, 11)	0.48	\$ 69,411	\$ 17,061	\$ 40,000	\$ -	\$ -
Grants & Contracts (BT 05)	5.00	\$ 473,629	\$ -	\$ -	\$ -	\$ -
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 3,500	\$ -	\$ -	\$ -
Total	38.48	\$ 4,090,093	\$ 132,980	\$ 40,000	\$ 20,415	\$ 4,000

FISCAL YEAR 2018

Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	33.00	\$ 3,678,437	\$ 104,400	\$ -	\$ 13,200	\$ 4,000
Self-Sustaining Funds (BT 10, 11)	0.48	\$ 75,889	\$ 15,300	\$ 40,000	\$ -	\$ -
Grants & Contracts (BT 05)	4.00	\$ 432,514	\$ -	\$ -	\$ -	\$ -
Philanthropy, or Gifts & Discretionary (BT 06)	0.00	\$ -	\$ 3,500	\$ -	\$ -	\$ -
Total	37.48	\$ 4,186,840	\$ 123,200	\$ 40,000	\$ 13,200	\$ 4,000

"Other" category is for shared leave - obj 21. Projections for FY17 are based on starting FY17 projections, but include actual expenditures through September 2016. Projections for FY18 are based on starting FY17 projections, plus all current staff at a full year (some hired after July 2016), less one layoff in RRF.

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.

FISCAL YEAR 2017

Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	16.25	\$ 2,063,825	\$ 216,280	\$ 125,838	\$ 50,462	\$ -
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)	39.80	\$ 4,937,468	\$ 93,337	\$ 1,113,570	\$ 3,225	\$ 77,460
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	56.05	\$ 7,001,293	\$ 309,617	\$ 1,239,408	\$ 53,687	\$ 77,460

FISCAL YEAR 2018

Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	15.00	\$ 2,025,554	\$ 219,414	\$ 122,400	\$ 41,458	\$ -
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)	38.80	\$ 4,789,929	\$ -	\$ 621,416	\$ 3,500	\$ 19,221
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	53.80	\$ 6,815,483	\$ 219,414	\$ 743,816	\$ 44,958	\$ 19,221

Contractual Services, Grants and Contracts, are operational charges that would ideally be on the equipment budget as they are for Amazon Web Services, Iron Mountain back up services, and Hosting and maintenance fee charges for IACUC and IRB systems. The salary & benefit numbers include attrition of 1 Computer Services Manager and 1 Business Analyst of internal operations. No other estimated attrition is taken from the salary and benefit number. "Other" is tuition for 1 Graduate Staff Assistant.

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.

FISCAL YEAR 2017

Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	19.00	\$ 2,867,000	\$ 258,000	\$ 30,000	\$ 32,000	
Self-Sustaining Funds (BT 10, 11)		\$ -				
Grants & Contracts (BT 05)	2.75	\$ 332,000			\$ 2,500	\$ 24,000
Philanthropy, or Gifts & Discretionary (BT 06)			\$ 252,500			\$ 30,000
Total	21.75	\$ 3,199,000	\$ 510,500	\$ 30,000	\$ 34,500	\$ 54,000

FISCAL YEAR 2018

Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)	17.50	\$ 2,931,680	\$ 268,320	\$ 31,200	\$ 33,280	
Self-Sustaining Funds (BT 10, 11)						
Grants & Contracts (BT 05)	3.75	\$ 345,280	\$ -	\$ -	\$ 2,600	\$ 24,960
Philanthropy, or Gifts & Discretionary (BT 06)		\$ -	\$ 160,000	\$ -	\$ -	
Total	21.25	\$ 3,276,960	\$ 428,320	\$ 31,200	\$ 35,880	\$ 24,960

Assumes backfill continues as planned for FY 17. For FY 18, estimating a 4% increase across the board for all continuing programs unless cost savings and/or increases are known. "Other" payments include stipends paid to students under the GenOM program. These are funded by sponsored projects and/or direct gifts.

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.

FISCAL YEAR 2017

Fund Source	FTE	Projected Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)		\$ 1,500,000	\$ 271,000	\$ 42,000	\$ 54,000	\$ 42,000
Self-Sustaining Funds (BT 10, 11)		\$ 672,000	\$ 104,000	\$ -	\$ 2,000	\$ 205,000
Grants & Contracts (BT 05)		\$ 33,000,000	\$ 25,000,000	\$ 409,000	\$ 1,529,000	\$ 5,500,000
Philanthropy, or Gifts & Discretionary (BT 06)						
Total	0.00	\$ 35,172,000	\$ 25,375,000	\$ 451,000	\$ 1,585,000	\$ 5,747,000

FISCAL YEAR 2018

Fund Source	FTE	Planned Expenditures (in \$)				
		Salaries & Benefits (OC: 01, 07)	Goods & Services (OC: 03, 05, 06)	Contractual Services (OC: 02)	Travel (OC: 04)	Other (OC: 08-21)
GOF/DOF, excluding carryover (BT 01)		\$ 1,560,000	\$ 281,840	\$ 43,680	\$ 56,160	\$ 43,680
Self-Sustaining Funds (BT 10, 11)		\$ 698,880	\$ 108,160	\$ -	\$ 2,080	\$ 213,200
Grants & Contracts (BT 05)		\$ 34,320,000	\$ 26,000,000	\$ 425,360	\$ 1,590,160	\$ 5,720,000
Philanthropy, or Gifts & Discretionary (BT 06)		\$ -	\$ -	\$ -	\$ -	\$ -
Total	0.00	\$ 36,578,880	\$ 26,390,000	\$ 469,040	\$ 1,648,400	\$ 5,976,880

For FY 18, estimating a 4% increase across the board for all continuing programs unless cost savings and/or increases are known. Other category is mostly Indirect Cost expenditures, tuition payments, and charges for APL overhead costs.

Updated Carryover Usage Plan - Administrative Units

Please use this template to provide an update on the carryover usage plan you submitted last year.

INSTRUCTIONS: Please do not change the numbers under "Previous Plan" (Columns C-F). Instead, please provide updated numbers under "Updated Plan" (Columns H-K). If you have new line items, please add rows, as needed. For any updates, please provide a brief description of the change (Column L). See the Word template for notes regarding HR/Payroll cost allocations. For additional guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

Unit:	PREVIOUS PLAN (Do Not Update)				Carryover into FY16:	UPDATED PLAN (Please Complete)	Est. Carryover into FY17:			
Office of Research					\$ 3,934,918			\$ 3,335,256 *		
Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual \$ Amount	Totals		Committed Year(s)	# of Years	Annual \$ Amount	Totals	Explanation of Changes/Updates
Unit's Reserve (10% of permanent ABB budget)										
Reserves	FY17	1	\$ 8,705	\$ 8,705		FY18	1	\$ 172,715	\$ 172,715	
	Total Unit's Reserve:			\$ 8,705		Total Unit's Reserve:			\$ 172,715	
Central Commitments										
1. RAPID funds - transferred to OE	FY 16	1	\$ 191,495	\$ 191,495		<i>e.g. FY17- FY19</i>	<i>e.g. 3</i>			
				\$ -					\$ -	
<i>Add more lines as needed</i>				\$ -					\$ -	
	Total Central Commitments:			\$ 191,495		Total Central Commitments:			\$ -	
"Spending Plan" Permanent Costs & Other Projects										
A. Perm expenditures funded with temp funds										
1. OSP - workload and compliance	FY 16	1	\$ 192,783	\$ 192,783		<i>e.g. FY17- FY19</i>	<i>e.g. 3</i>			
2. HSD - workload and compliance	FY 16	1	\$ 364,467	\$ 364,467		FY 17	1	\$ 98,000	\$ 98,000	
3. ORIS - MyResearch Portal expenses				\$ -		FY 17	1	\$ 68,000	\$ 68,000	
B. Possible multi-year commitments										
1. APL - Startup/Matching funds for researchers - dept. commitment	FY 16,17	2	\$ 230,425	\$ 460,850		FY 17-FY18	2	\$ 260,000	\$ 520,000	
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		FY 17	1	\$ 250,000	\$ 250,000	
3. ORC - "Dean's level" commitment to APL matching funds	FY 16	1	\$ 250,000	\$ 250,000		FY 17	1	\$ 1,636,541	\$ 1,636,541	
				\$ -		FY 17	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		FY 17	1	\$ 340,000	\$ 340,000	
				\$ -					\$ -	
<i>Add more lines as needed</i>				\$ -					\$ -	
	Total Permanent Costs & Other Projects:			\$ 3,734,718		Total Permanent Costs & Other Projects:			\$ 3,162,541	
PRIOR PLAN TOTAL: \$ 3,934,918						UPDATED PLAN TOTAL: \$ 3,335,256 **				

* As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

** Because carryover balances are estimated, and many of these priorities transcend multiple years, we do not expect this total to exactly match your unit's carryover total.

Provost Reinvestment Fund Request(s)

Please limit Provost Reinvestment Fund (PRF) requests to temporary support for issues of critical compliance and high institutional priority (such as enhancements to the faculty or student experience) and in consultation with faculty, staff and students. Please also indicate what you are willing to commit as a match for PRF support. Repeat the following fields as needed.

One Sentence Explanation:	Temp Funds - Compliance analyst to establish a more robust post-approval monitoring program in HSD.				
Requested PRF (per year):	\$	99,000			
Number of years needed:		1			
Starting In:		FY 18			
Unit Match/Contribution:	While no funds are being used to match this specific request the Office of Research is using significant amounts of unit reserves and other temporary funds to pay for nine FTEs required to manage the increased workload and other regulatory changes outlined in the budget narrative.				
Full Explanation of Request:	This position will allow us to increase compliance monitoring on the more than 6500 active research studies.				
Connection To Other Units:	This request is neither duplicative nor achievable through collaboration with other units outside the Office of Research				
FTES and Expenditures					
Job Title	FTE	Total Yearly Cost	Amt covered by unit	Amt covered by PRF	
<i>Integration architect</i>	<i>1</i>	<i>99,000</i>	<i>0%</i>	<i>99,000</i>	

One Sentence Explanation:	Temp Funds - One FTE to increase efforts devoted to export controls .				
Requested PRF (per year):	\$	222,432			
Number of years needed:		1			
Starting In:		FY 18			
Unit Match/Contribution:	While no funds are being used to match this specific request the Office of Research is using significant amounts of unit reserves and other temporary funds to pay for nine FTEs required to manage the increased workload and other regulatory changes outlined in the budget narrative.				
Full Explanation of Request:	This AVP position addresses the burgeoning workload and risk around export controls and "dual use" regulations for research. This position reports to the Office of Research, but works closely with a number of other offices involved with specific export control issues. As the empowered official for export controls this position is responsible for policy development, compliance, and unit outreach. Temporary funds were provided for this position in FY 17.				
Connection To Other Units:	Management of export control administrative activities extends beyond UW's research mission and includes other non-research areas. This position leverages activities in multiple offices including OGA, Facilities, ISO, OSP, and CoMotion. This position was created after discussions with OGA and has a dotted line reporting relationship to the VP of OGA.				
FTES and Expenditures					
Job Title	FTE	Total Yearly Cost	Amt covered by unit	Amt covered by PRF	
<i>AVP for Export Controls</i>	<i>1</i>	<i>222,432</i>	<i>0%</i>	<i>222,432</i>	

One Sentence Explanation:	Permanent funding for MyResearch Portal expenses				
Requested PRF (per year):	\$ 600,000				
Number of years needed:	3	Total perm funds required is \$1.8M			
Starting In:	FY 18				
Unit Match/Contribution:	While no funds are being used to match this specific request the Office of Research is using significant amounts of unit reserves and other temporary funds to pay for nine FTEs required to manage the increased workload and other regulatory changes outlined in the budget narrative.				
Full Explanation of Request:	Funding for MyResearch portal expenses including infrastructure costs, website costs, custom built solutions, vendor solutions, and hosting fees.				
Connection To Other Units:	The MyResearch Portal aggregates key information needed to manage administrative activities related to research. It connects to the various source systems and delivers a suite of personalized dashboards with action items in real time. This enables researchers and their teams to more effectively accomplish each task, and return to their science more quickly, buying them additional time. The MyResearch Portal is designed to decrease both the amount of time away from doing research, and the number of times researchers are pulled away.				
FTEs and Expenditures					
Job Title	FTE	Total Yearly Cost	Amt covered by unit	Amt covered by PRF	
various	10	600,000	0%	600,000	