

UNIVERSITY of WASHINGTON

FY2020 Annual Review Narrative Response for: **216 - Research**Programmatic & Academic Vitality Narrative

- 1) Please briefly describe your unit's annual internal budget development process. *Question Type: Free Text, Word Limit: 500, Required For: All Units*

Using the Provost's Annual Budget Review process as a starting point we develop plans and budgets for the upcoming year. On a monthly basis we monitor our plans and manage expenditures. Plans may require adjustments mid-year due to changing workload (new work requirements, new federal regulations, increased complexity, and University changes impacting Office of Research units).

The Applied Physics Lab has an additional, separate budgeting process required under their main operating framework with the Navy. This budgeting process occurs on the Federal Fiscal Year time frame and is used to set their Prorated Direct Cost rate which is reviewed/approved by the Office of Naval Research.

- 2) What are 3-5 key elements of your unit's current strategic plan? *Question Type: Free Text, Word Limit: 500, Required For: All Units*

Office of Research's administrative units continue to focus on creating capacity to manage increased workload (due to volume, complexity, and new regulations) while maintaining or increasing service to researchers. So far, we are managing adequately, except in the area of electronic systems development. Most of our electronic system plans have been put on hold due to lack of funding. Additionally, upcoming regulatory changes and, possibly, additional increased workload, may outpace our ability to create capacity which may require either additional funds (to directly manage workload or to further develop electronic systems to create capacity) or a further definition of the scope of responsibilities for individual administrative units in the OR.

The Office of Research's strategic goals are:

Research Administration Goals

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

Applied Physics Lab Goals

- Improve APL's Increase Collaboration with NW partners (local Navy organizations, PNNL, etc.)
- Recruit new research scientists and engineers in expected growth areas
- Meet the nation's growing defense needs by increasing collaborations with NW area partners (local Navy operational orgs, PNNL, etc.)
- Improve lab infrastructure through acquisition of a new research building

- 3) What major obstacles or institutional barriers currently do, or likely will, hinder execution of your strategic plan? What are you doing to address these challenges? *Question Type: Free Text, Word Limit: 500, Required For: All Units*

New federal single IRB regulatory requirement - Establishing the necessary and sustainable infra-structure (staffing, systems, forms, funding model), processes, and communications for the new requirement for IRBs to serve as a single IRB for multi-institutional research. We are addressing this challenge by spending our carryover to increase staffing in this area and exploring options for a funding model to support some aspects of this new area of responsibility. The full impact of this new requirement will not be known until final federal guidance is provided (approximately Spring Quarter).

APL Lab Infrastructure – funding challenges may restrict ability to secure new research space. If securing a new building is not financially feasible then APL will investigate completing delayed upgrades to current building. See the Space and Resource Needs Projection section for additional information. Increased OSP workload – OSP has experienced a 45% increase in non-award agreements (data use, confidential disclosure agreements, etc.) and unfunded collaboration



UNIVERSITY of WASHINGTON

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agreements over the past two fiscal years, handling over a thousand per year. OSP reorganized personnel and workflow for more effective handling of these agreements. However, continued workload increases may require additional resources for this specific area.

Lack of funding for electronic systems – some systems and upgrades put on hold until additional funding can be allocated. There are multiple projects identified (both large and small) that can reduce workload and FTE both within OR and outside OR, but current funds are allocated towards maintaining existing systems. The Office of Research is working with other research administrative units, OPB, and the Provost to prioritize any funding for additional systems and/or upgrades.

Controlled unclassified information (CUI) and export controls – increased compliance requirements in these areas may require additional resources that could be applied elsewhere.

FTP - Financial Transformation Project likely to introduce major disruptions to systems solutions and business processes. It will be important for FTP to include funding to adjust, refactor, and re-engineer these solutions and processes.

Staff recruitment/retention challenges – many of our units struggle to attract and retain high quality staff with current salary levels. This is especially true with units engaged in specialized work (e.g. human subjects, specialized research areas). This issue is outlined in greater detail in the Staff/FTE challenges section of the report.

- 4) Over the next year, could any of your planned strategic activities result in material changes to revenues or expenditures, faculty or staff workload, or the student experience within your unit and/or another unit/campus? *Question Type: Free Text, Word Limit: 500, Required For: All Units*

Federal Single IRB regulation – workload for both HSD and campus may increase depending of final regulation guidance. However, proper implementation will ensure that the UW will continue to be eligible to be the primary awardee on large, multi-institutional research projects.

Electronic systems – if funding for electronic systems are approved then expenditures on research administration may be materially reduced.

Service agreements – service agreements processed through OSP may be changed so that they are processed through other mechanisms (e.g. auxiliary budgets). While any changes should not result in material workload increases to activity-based units it may result in material changes to other administrative units who would process these agreements. OSP is working with a team from GCA, MAA, and OPB to identify potential solutions.

- 5) What is your unit doing to effectively use resources in a way that benefits your unit and/or other units/campuses? *Question Type: Free Text, Word Limit: 500, Required For: UWB, UWT, UWS Administrative Units*

Electronic Systems – administer existing systems (SAGE, SPAERC, Hoverboard, Zipline, FIDS, etc) and, when possible, upgrade and/or develop new systems to enhance the Researcher Portal. These systems increase business efficiency throughout the researcher lifecycle while improving compliance and data quality. Recently we integrated Zipline (eIRB system) with SAGE/SPAERC so that IRB compliance information is more readily available to OSP reviewers. This reduces the time to process awards involving human subjects.

New federal single IRB regulatory requirement – devoting existing FTE and carryover to explore ways to effectively administer this new requirement.

NIH Progress Reports – delegated NIH progress report submissions to PIs (allowable under NIH policy) reducing proposal volumes in OSP while increasing efficiency for PIs. OSP was able to re-deploy FTE (approx. .75) to address workload increases in other areas.

CORE Research Certificate - Office of Research's Collaborative for Research Education (CORE) will launch the Certificate in Research Administration this fall to target development of key skills and knowledge for all staff engaged in administering sponsored projects. This is expected to streamline all processes, as staff in academic units become more



UNIVERSITY of WASHINGTON

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knowledgeable about specific research administration tasks, ultimately decreasing the need for FTE in both central and academic units.

- 6) What are you doing to improve the experience and outcomes of students in your unit? What could the University do to support your efforts? *Question Type: Free Text, Word Limit: 500, Required For: UWB, UWT, UWS Academic Units, UAA, Graduate School*

Not Applicable