

UNIVERSITY of WASHINGTON
FY2021 Annual Review Narrative Survey

Unit Name: [Enter Unit Name Here]

Programmatic & Academic Vitality Narratives

- 1)** Have you made any changes to your unit's annual budget development process from the response provided last year? If yes, please briefly describe the changes you've made to your unit's annual internal budget development process. If no, please answer with a simple, "no changes." *Word Limit: 500*

No changes with the exception of non-restricted funds in the Applied Physics Lab (APL). The new process for these funds includes additional analysis to determine funding required for lab-wide support as well as funding that can be distributed to APL departments, and/or special projects identified by the Executive Director.

<OPB Inserting FY20 Response Below>

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)** Have you made any changes to your unit's strategic plan in the past year? If yes, what are 3-5 key elements of your unit's new/revised strategic plan? If no, please comment on the progress you've made in 3-5 key areas of your strategic plan. *Word Limit: 500*

No changes to strategic plans/goals. However, we are moving the Office of Research Misconduct Proceedings from AHR to OR as of February 2020, and will be adding their activities to our overall plans and goals.

General Office of Research goals are to add value to the research experience, achieve operational excellence, attract and retain top and diverse staff, and add value to the UW

Key Stats

- 5,632 competing proposals submitted and no missed deadlines (over \$5B of funding requested)
- 5,494 awards processed (~\$1.6B in research awards)
- 969 Non-Award Agreements
- 7,200 Administrative Actions
- 1,160 unique sponsors
- 7,179 IRB items (initial applications, mods, etc) with improved turnaround times
- 1,872 faculty outside work requests
- 929 CORE course enrollees (see below)
- 19,080 financial interest disclosures

Key Projects

- Launched the Certificate in Research Administration. This certificate, as part of the broader CORE program, provides coursework on research administration practices, policies and procedures, and supports UW learners

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in forging career pathways while ultimately decreasing the need for FTE in both central and academic units as staff become knowledgeable and efficient about research administration.

- Zipline (HSD IRB records) integration into SAGE/SPAERC improving turnaround times and reducing effort.
- Fully delegated RPPR submission authority (non-competing renewals) to eliminate duplicative efforts on campus (~800hrs of estimated savings).
- Initiated and facilitated a revision to Washington State law RCW 42.48 to remove significant on-going requirements impacting the majority of UW studies.
- Developed a suite of reports to facilitate proposal workflow, including KPIs, tasklists, and workflow distributions.
- Created new templates for industry agreements reducing effort and turnaround times.
- Implemented major upgrades to Zipline software to improve user experience, reduce/eliminate pain points, support fulfillment of new regulatory requirements.
- Ongoing project to move the Office of Research Misconduct Proceedings from AHR and incorporate those responsibilities into OR's existing compliance organizational structure.
- Launched initiatives in multiple units to help with recruitment and retention efforts including outreach to support and engage staff/researchers, increased development offerings, flex time, and appropriate telework policies.
- APL continues to collaborate with other UW departments and external sponsors to expand research and development projects.
- Completed customer satisfaction survey for all OR administrative units and developed unit-specific plans based on the results.
- Increased focus on standardizing data to sync with the new Workday Financial system.
- Rapidly responded to shifting Research Roadmap priority to replace animal operations management system for the Department of Comparative Medicine.

3) What major obstacles or institutional barriers currently do, or will, hinder execution of your strategic plan? What are you doing to address these challenges? If no changes from your response to either component of this question from last year, please answer "no changes": [Word Limit: 250](#)

Workload Volumes and Regulatory Changes

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Workload volumes and regulatory challenges have been increasing for a number of years (details below). Through FY20 we have addressed these challenges by: 1) creating capacity through electronic systems and process improvements and 2) strategically deploying carryover funds and salary savings. However, workload increases will likely outpace our ability to manage them without additional resources and/or a reduction in current service levels.

Increased workload in OSP – Volume of complex proposals continues to increase including clinical Trials (62% increase of proposal count and 180% increase in total requested increased over a five year period) and large/complex proposals (19% increase in proposals over \$2M). Non-Award Agreements (NAAs) also continue to increase (~1K NAAs/yr – a 50% jump over a five year period) with recent increases directly tied to new privacy laws.

Increased workload in HSD – Overall workload has increased by 21% over the last three years including a 16% increase in initial IRB applications (2547 applications in FY19), 78% increase in continuing reviews (1591 in FY19), and a 131% increase in regulatory actions (761 in FY19).

Single IRB requirement – Establishing the necessary and sustainable infrastructure (staffing, systems, forms, funding model), processes, and communications for the new requirement for IRBs to serve as a single IRB for multi-institutional research.

Increased regulations – Additional regulations include the European Union General Data Protection Regulations (GDPR), new requirements by Naval Sea Command, revisions to FDA regulations, as well as potential WA state privacy laws.

Finance Transformation - Financial Transformation will introduce major disruptions to systems solutions and business processes.

Continued APL infrastructure challenges – see section 5

Continued recruitment/retention challenges – see section 3

- 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/campus and/or another unit/campus? *Word Limit: 500*

Electronic systems – as electronic systems come online workload on research administration may be materially reduced for central and campus units.

Federal Single IRB requirement – workload for both HSD and campus will increase under these new requirements. However, proper implementation will ensure that the UW will continue to be eligible to be the primary awardee on large, multi-institutional research projects.

- 5) What is your unit doing to effectively use or redeploy resources in a way that benefits your unit/campus and/or other units/campuses? *Word Limit: 500*

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CORE Research Certificate - Office of Research's Collaborative for Research Education (CORE) launched the Certificate in Research Administration 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 knowledgeable about specific research administration tasks, ultimately decreasing the need for FTE in both central and academic units. In FY19 there were 929 course attendees in all CORE classes.

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 research 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. We deployed a new unified system for managing animal care protocols and operations that integrates processes across the Office of Animal Welfare and the Department of Comparative Medicine, saving significant process time.

Pre-award spending and extensions - OSP completed a project to eliminate multiple systems and processes for pre-award spending and extensions. This will save time for campus requestors, OSP, and GCA.

Single IRB requirement – devoting existing FTE and carryover to explore ways to effectively administer this new requirement with the least amount of administrative burden.

- 6)** For UW student facing units, what are you doing to improve the experience and outcomes of students on your campus or in your unit? What could the University do to support your efforts? *Word Limit: 500, Leave blank if N/A*

N/A – We don't answer this