



## Office of Research

iSTAR metrics: FY11 Q3

---

June 1, 2011

### Resource Optimization

#### Highlights

---

##### HSD

In the last 3 months:

- Trained 157 people in Research Ethics & IRB Review

##### OSP

In the last 3 months:

- Processed 1013 awards
- Reviewed 1979 grants and contract proposals

In the last 3 months:

- Held various trainings for 297 people on campus

##### ORIS/SAGE

In the last 3 months:

- ORIS/SAGE trained 40 people in SAGE
- Trained 103 people in a Personnel Changes to the eGC1 online tutorial

### Initiatives Completed in Last 3 Months

Unit	Initiatives Completed in Last 3 Months	Measurement of Efficiency/ Savings Achieved/ Adding Value
HSD	Implemented revised Exemption form on 2/28/11.	Revised form will help researchers more efficiently identify the appropriate exemption category for their research and reduce the amount of time HSD staff spend corresponding with researchers to determine the appropriate category.
ORIS	SPAERC/SERA Maintenance <ul style="list-style-type: none"> <li>• Adobe B1 Form set released January 2011</li> <li>• Budget F&amp;A changes released January 2011</li> </ul>	<ul style="list-style-type: none"> <li>• Research community able to complete form sets and submit as required with new NIH revisions released winter 2011</li> <li>• Creates efficiencies with budget tool flexibility on types of F&amp;A rates allowed; supports new negotiated rates</li> </ul>
ORIS	The Budget Module – Versioning & Locking	<ul style="list-style-type: none"> <li>• Will allow successive versions of budget to be captured and locked in allowing audit trail for what has been approved in routing.</li> </ul>
ORIS	SAGE Splash Page redesign	Provides increased access for user of critical information by alignment with SAGE system layout and providing easily accessed information links,
OSP	Integrate & streamline office operations for co-located OSP & HSD units	Resulting in better cost efficiency (less FTE to staff the front desk) and integration of previously duplicated effort (phones, mail, etc.) Additionally, it provides a single, physical point-of-contact for the customers/visitors of both units.
OSP	Streamline disposition of fixed price surplus accounts.	OSP involvement has been limited to a smaller set of cases, and communication to staff about improved notes and information transfer to GCA at time of award is planned for Q4.
OSP	Closeouts	Examined OSP's current closeout activities to determine opportunities for OSP to assist in improving institutional compliance with sponsor closeout requirements; standardized and communicated OSP's closeout process for improved transparency

### Current Initiative Projects

Unit	Current Initiative Projects	Milestones Achieved to Date	Expected Measurement of Efficiency/ Savings Achieved/ Adding Value
HSD	Revision of IRB application	Beta-testing is complete. We received 22 beta-test applications. We are receiving significant and structured feedback from beta-testers that will be used to make further revisions to the form before it is implemented.	Increase approvals at first IRB review by 30 to 40%.
ORIS	SAGE Related Attachments	June 2011	Will allow campus users to view attachments added to eGC1 by OSP and GCA giving more transparency to award management and improving efficiency of process for all parties by relieving need for phone calls for status
ORIS	SAGE Mobile Application	Release late Spring/early Summer 2011	Allows preparers to track proposal status in real time to permit reviewers to approve from proposal and to view actions taken on history and comments page; saves time by

			allowing remote access to proposal status
ORIS	The Budget Module – Bridge	Defining scope and requirements	Will allow more efficient, accurate, timely flow of information between research administrative support units
ORIS	Budget Reviewer	Reprioritized based on customers/currently deferred	Modification supporting reviewers' use of budget details imported into eGC1; supports phasing in of compliance review requirements of budget elements
ORIS	Center for Commercialization systems implementation	Phase I targeted to deploy August 2011; Hiring Project Manager & BA for Phase 2	Upgrade of C4C internal system to better manage technology disclosure, IP protection, licensing, and revenue receipt/distribution
ORIS	RADC Block I		Brings efficiencies to research administration by alleviating reporting issues, bringing transparencies to data and processes, and providing users increased access to data
ORIS	Document Imaging and Management System [DIMS]	Hired Project Manager and Business Analyst April 2011  Phase 2 planning kicked off early May 2011	Begin phased use of a new Document Imaging and Management System [DIMS] being purchased through a cross-unit project led by FM/SFS/OR/ and the Admissions offices of all three campuses.
ORIS	EH&S needs assessment	Analysis complete Feb 2011  Implementation of select process improvements that were identified underway	Identify and prioritize business needs to define the technology need of the organization; create understanding of processes of units day lighting problem areas, gaps, and quick win opportunities
ORIS	Compliance	Charter drafted; continued progress on determining required training and communication channels needed	Provide clarity regarding required training and registration process; reduce risk of non-compliance of required training; reduce risk of non-compliance
ORIS	UW research centers Browse and Search	Solr (enterprise search platform) approach being documented and analyzed	Promote interdisciplinary research collaboration by making expertise and center efforts centrally available and searchable
ORIS	Research Site reorganization	In process	Increase site usability by creating one entry point for all research related information; creates ease of locating information while decreasing time required to do so
ORIS	OSP GIM migration to CMS	Migrating GIMs to CMS 2011	Improve availability of critical research administration policy, procedures, and guidance; increases ease of updating information in timely manner
ORIS	Content Management	Continued assessment of strengths and risks for available cms products; recommended multi-tool approach, selecting a "best-in-class" option based on the specific criteria for each project	Implementation of a fully capable content management approach to handling online information that reaches the end user through applications, informational sites, and

			downloadable materials
OSP	Improve award handoff from OSP to GCA	Discussion and redefinition of “renewal” vs. “supplement”. Training for OSP staff planned for Q4.	Reduce returns and back and forth with GCA about awards
OSP	Transition mail out function from PCs	Planning complete, including phased approach to transition. On hold pending decision of where to move this function. Training is being prepared.	This reassignment of responsibilities frees PCs to take on award intake responsibilities as well as award processing for certain types of awards.
OSP	Revise Grants Information Memoranda (GIMs)	Each GIM assigned to an OSP manager for assessment. In Q4, we expect to remove at least 5 GIMs removed and publish at least 2 new GIMs.	Updating of GIMS will provide more clear, consistent and current guidance to campus. New format will call out process separately from policy and give better direction to campus for both.
OSP	Revision of OSP closeout process to improve institutional compliance with sponsor requirements.	New PC position dedicated to closeouts process. New GIM to be published Q4 and learning/communication planned for that release.	This project begins to clearly document OSP’s role in the closeout process which will benefit both OSP staff and campus. The infrastructure put in place will also assist in compliance with sponsor requirements concerning closeout.
OSP	Budget Review Criteria	Working group complete; developed RACI matrix setting out laws, regs, policies and responsibilities; shared RACI matrix with ORIS Budget Module working group; developing guidance now for use on website and for internal training. On hold pending resource availability.	Identify OSP ‘s role and what should be reviewed by UW for sponsored program budgets; define and document scope of OSP budget review, depth of review, criteria for acceptance, and process to complete review which will aid in clarity of communication to campus and improve the on boarding of new OSP staff.
OSP	Create new internal OSP information management plan	Documents reviewed and determination about updating vs. archiving. Nonfederal forms reviewed in depth to determine correct location and what requires updating.	Up-to-date information and resources to assist OSP staff in their daily work.
OSP	OSP SharePoint Site	Site structure determined pending final management approval.	OSP will have a consolidated and organized information management structure to communicate business policies and processes both internally and externally to campus; this will assist in the development of clear and consistent communication to campus, standardization of OSP business practice and on boarding of new OSP staff.