



Resource Optimization

Highlights

Between 4/1/11-7/1/11:

HSD

- HSD held internal trainings for 60 staff
- Started work on phasing out current “Approved in Principle” practice and implementing Limited Activities Determination policy, procedures and forms to align with Federal regulations.

OSP

- OSP processed 1,619 awards
- OSP reviewed 1,971 grants and contract proposals
- OSP held various trainings for 83 people on campus
- OSP worked with GCA, MAA, Internal Audit and Purchasing to hold trainings for 213 people on campus

ORIS/SAGE

- Launched a SAGE mobile application
- Revised seven training curriculums
- Started work on the UW Research Centers page
- Started work on the UW Research site reorganization

Initiatives Completed

Unit	Initiatives Completed in Last 3 Months	Measurement of Efficiency/ Savings Achieved/ Adding Value
OSP	Improve award handoff from OSP to GCA	Reduction of "Returns" to OSP of eFAs from 20+ on average/mth for purpose of stating "balance disposition information" in OSP comments to 1 Return in July for this reason. This is based on process improvement, communication and awareness as documented on OSP intranet/vault.
OSP	Revision of OSP closeout process to improve institutional compliance with sponsor requirements	Establishing baseline ratio of # of closeouts of federal programs to # of programs receiving notification of in new process. Will have baseline in Fall 2011 once we reach the stage when these first batch going through notification have reached 90 days past award end date and we complete have data.
OSP	GIM Revision Project	New GIM 39 complete and published GIM 3 revised and published GIM 25 eliminated GIM 4 eliminated GIM 8 eliminated GIM 12 eliminated GIM 16 eliminated
OSP	New H-1B Export Control Review Process	Multi-office effort between OSP and International Scholars Office (ISO), in which OSP export control team provides review for each H-1B Visa application prior to ISO sign-off on Visa application. New changes to H-1B application necessitated this enhanced process. Volume: 121 since May 2011
ORIS	SAGE Related Attachments	Allows 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	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

Initiatives in Progress

Unit	Current Initiative Projects	Milestones Achieved as of 6/31/11	Expected Measurement of Efficiency/ Savings Achieved/ Adding Value
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)	*GIM 38 in working group *GIM 34 final except for Advancement compliance process information *GIM 13 in final draft review *GIM 31 in draft and with LEAN team to review OSP comments *GIM 23 in review by GCA working group *GIM 22 will be eliminated and folded into GIM 13 as guidance/link	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	SFI Process Improvement	Working group under establishment	Streamlining of business practice to gain additional efficiencies, clarify

			processes and improve compliance management
OSP	Compliance Check at time of Award system enhancement	Business requirements submitted to ORIS.	
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. On hold pending resource availability.	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. On hold pending resource availability.	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 staff.
OSP	Compliance check at time of award system enhancement	Business requirements for system support of compliance checks submitted to ORIS	These system enhancements will support OSP's at time of award effort to ensure verification of compliance and reduce institutional risk.
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	Managed Data	In development	Build out of research administration data that is auditable and reuseable; precursor to proposal and award
ORIS	Portal lite	Project planning	Provide a single place for researchers to manage all activities related to conducting research throughout the project lifecycle
ORIS	Center for Commercialization systems implementation	Phase I deployed August 10, 2011; Project Manager & Developer have been hired for Phase 2	Upgrade of C4C internal system to better manage technology disclosure, IP protection, licensing, and revenue receipt/distribution
ORIS	RADC Block I	Working to resolve big ticket data issues	Brings efficiencies to research administration by alleviating

		<p>Partnering with SAGE team to develop data usage solutions.</p> <p>Reporting refined for Annual, BoR metrics, and STAR reports Prototype of expected EDW has been built and UAT in process with select users</p> <p>Working with OAW to create automated load of data leading to providing reporting services to unit</p>	<p>reporting issues, bringing transparencies to data and processes, and providing users increased access to data</p>
ORIS	Document Imaging and Management System [DIMS]	<p>Hired Project Manager and Business Analyst April 2011</p> <p>Phase 2 planning kicked off early May 2011</p>	<p>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.</p>
ORIS	EH&S needs assessment	<p>Analysis complete Feb 2011</p> <p>Implementation of select process improvements that were identified underway. Proposal to fulfill identified technology needs have been drafted.</p>	<p>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</p>
ORIS	Compliance	<p>Charter drafted; Phase I released (entry page + required trainings list)</p>	<p>Provide clarity regarding required training and registration process; reduce risk of non-compliance of required training; reduce risk of non-compliance</p>
ORIS	UW research centers Browse and Search	<p>Solr (enterprise search platform) instance created</p> <p>Proof of concepts developed, data gathering and organization escalated</p>	<p>Promote interdisciplinary research collaboration by making expertise and center efforts centrally available and searchable</p>
ORIS	Research Site reorganization	<p>Phase 1 of UW Research Enterprise product scoped and development initiated; release to include new home page, along with a revamp of site search and a small number of tactically relevant pages</p>	<p>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</p>
ORIS	OSP GIM migration to CMS	<p>Migrating GIMs to CMS 2011; currently deferred</p>	<p>Improve availability of critical research administration policy, procedures, and guidance; increases ease of updating information in timely manner</p>
HSD	Revision of IRB application	<p>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.</p>	<p>Increase approvals at first IRB review by 30 to 40%.</p>
HSD	Conversion of AIP to Limited Activities Determination	<p>Phase out current "Approved in Principle" practice and implement Limited Activities Determination policy, procedures and forms to align with Federal regulations.</p>	