



Accountability and Simplification: Is this an Oxymoron?

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Background

UW received \$1.4 Billion in Sponsored Programs in FY 2010. Over 20,000 active awards annually.

UW Ranks in top 5 in UW in receipt of externally sponsored research and other sponsored projects

UW is a natural site for audits.



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More Background

- In Ten Years UW grew its sponsored programs by 55%.
- For 7 of those 10 years, staffing did not increase.
- Every time a compliance issues arose...A **NEW RULE WAS ENACTED!**





Change!

2007: New Vice Provost for Research

2007: New Initiative: “Improving Service to Advance Research (iSTAR)”

2008: New Assistant Vice Provost for Research

2008: New Goals for Office of Research

2009: Campus-wide Research and Integrity Committee established.



New Goals for Office of Research

Add Value to the Overall Research Experience

Achieve Operational Excellence

Attract and Retain Top Staff

Add Value to the UW

AND.....

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Rank UW as #1!



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Research Compliance and Integrity Committee Purpose

“Achieve an integrated and coordinated research compliance and integrity program that will:

1. Result in improved and consistent communication –reducing risk of noncompliance
2. Decrease barriers to research compliance by increasing efficiencies and leveraging resources
3. Ensure that oversight offices fulfill institutional responsibilities.”

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Keep UW Faculty out of HERE!



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Bottom Line:

Can we:

- grow research,
- become more service oriented,
- more efficient AND
- be more accountable?

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New Model for Office of Sponsored Programs: From



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To:



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Basic Approach

- “Speak Softly and Carry a Big Stick”

Theodore Roosevelt, 1900



Critical Elements:

1. Process Review and Revision
2. Outcomes/change in process
3. Training: OSP and campus-wide
4. Metrics



Getting Started

- Promoted Manager to Associate Director for Operations and Compliance
- Restructured Staff to create a 4 member Learning and Business Support group in OSP (LABS) to implement changes and carry out training.
- Built a Process Improvement team to advise, oversee and track changes (RAPPT).



Research Administration Policy and Process Team (RAPPT)

- Chartered to:
 - Examine existing policies and processes
 - Identify gaps, inconsistencies, inefficiencies
 - Revise with subject matter expert working groups, including external offices and stakeholders
 - Document
 - Train
 - Revisit



Process Improvements

- Project to Review ALL UW Research policies: Simplify and add “the big stick”.
- Proactive closeout process instituted, to notify and follow-up with faculty, and “no new proposal submission if award close out not completed.”

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More Improvements

- Streamlined receipt and dissemination of federal awards-efiles –decreasing award set up from 5 weeks average to two days. Earlier acceptance of funding leads to decreased advanced spending, less cost transfers.
- New process to review cost-share documentation at time of award, eliminating “double-review”, incorrect cost-share information and supporting accurate cost-share reporting as project progresses.



More improvements

- Electronic filing: OSP process to accept, characterize and store sponsored project awards and compliance information entirely electronically, in shared transparent system. All project files available to PI and dept with a click of the button.
- Eliminate sponsored project policy “rules” that are not policies and add no value and update others on a periodic schedule:
 - Cuts down on confusion and questions
 - Enhances University’s responsiveness to regulatory changes



Training

Comprehensive Research Administration Learning Program:

- 1 ½ FTE Trainers
- Part of the LABS group
- Offer programs for both Researchers and Research Administrators



For Researchers

1. Faculty Grants Management Class:
Required every 4 Years
2. Research Administration Classes:
(Optional)
3. New Faculty Orientation: Two Hour
Orientation plus Lunch Sessions



New Faculty Orientation

- **TRACK I - Compliance**
 - Financial Conflict of Interest and Outside Work Review
 - Environmental Health & Safety
 - Office of Animal Welfare
 - Human Subjects Division
 - Faculty Effort Certification and Cost Share and Budget
 - Subcontracts and Internal Audit
 - Export Control, Dual Use and Data Security
- **TRACK II - Build Your Research Program**
 - Basic Grantsmanship and Building your Research Program
 - Budgeting Demystified
 - Interdisciplinary Research and eScience
 - Translational and Transformative Research and Technology Transfer
 - Building Research Centers and Institutes
 - Corporate & Foundation Relations and Working with Industry
 - Clinical Research
 - Gifts, Grants and Contracts and Records Retention



For Research Administrators

1. Monthly Research Administrators Meetings: Pre and Post-Award
2. Subject Matter Classes: Goal to have a comprehensive program in five years.

Conceptual Framework for a Research Administration Learning Program at the UW

Rev 5/23/11

Core Classes

Fiscal Compliance & Oversight

Introduction to Research Administration

Regulatory Compliance Overview

Overview of Post-Award Financial Mgmt

Preparing Basic Budgets

SAGE 101

Award File

Active

2011

Specialty Tracks

Systems

Fiscal

Pre Award

Post Award

Admin & Mgmt

Special Programs

•Grants.gov

•Cost Share

•Small Business SC'ing Plans

•Intermediate Post Award Issues

•Outgoing Subcontract Administration

•Global projects

•SAGE Budget

•Complex Budgets

•Proposal Develop

•Extension, Supplements & Renewals

•Subcontract Monitoring

•Export Control

•Fastlane

•Understand F&A Rates

•Completing Sponsor Forms

•Financial Reporting/ Invoicing

•Audit Class

•Clinical Trials

•eSNAP

•Expenditures & Managing Award

•Intermediate Pre Award Issues

•Cost/Recharge Centers

•Training Grants

•Xtrain

•Advance Budgets Requests

•Gifts, Grants and Contracts

•Tips on Budget Prep

•Tech Transfer/IP

•SAGE training

•FEC

•Managing Budgets

•Consortia Issues /MOU /MOA

•Consults, Collabs and mPIs

•Transferring projects in/out of UW

•OMB Circulars

•Managing Equipment



Metrics: Is it Working?

Examples:

- Decreased award set up time from five weeks to 2 days for unilateral awards. (Reduced Cost Transfers)
- 2010 Campus Survey: Satisfaction increased from 3.1 to 3.84 out of 5 in 2 ½ years
- Audit Results 2007-2010:
 - No questioned costs
 - One Finding (Wrong CFDA #)
 - Clean Sub-recipient Monitoring review (2007 finding)

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Question

Accountability and Simplification: Is
this an Oxymoron?

NO!



Benefits:

When an institution uses strategic and tactical methods to improve process coupled with deliberate attention to compliance the outcome is:

- Improved Service to Faculty, Administrators and Sponsors
- Improved Efficiency
- Removal of Barriers to Success, and
- Increased Accountability



Thank You!

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