Office of Research Support and Operations (ORSO – PreAward)

Recommendation	Action (s)	Responsible Parties	Budget Commitments	Key Dates
Improve the eREX form	• Create abbreviated eREX forms for: ○ Revised Budgets, PI Changes, and Credit change • Update ORSO and SPS database for eREX contacts • Update ORSO Guideline #30 to exclude LOI's	ORSO: Matt Michener (G/C Manager) and Derek Brown (Research Operations Manager)	N/A	• Pending: Complete in CY 2019 based on OR IT Priorities • Completed • Completed

Improve the eREX routing and approval process (with goal being getting the best proposal out the door)	• Approving RUSH proposals, units would have the option of:
	    ○ Continuing with current process
	    ○ In lieu of Chairs/Deans manually approving eREXs within MyResearch, departments could create a departmental faculty committee to review and approve eREXs (chairs and deans would still be auto-notified to internally communicate a proposal has been submitted)
	• To streamline approvals, all admins. could be auto-approved (auto-notify).
	• Clarify policy deadline times for eREX processing in BPPM 40.02
		ORSO: Dan Nordquist (AVP), Matt Michener, and Derek Brown	N/A	Pending: Evaluate and determine Spring 2019

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Improve ORSO procedures to ensure consistency	• ORSO leadership to train new Proposal Manager to create consistent processes and training among new employees.	ORSO: Dan Nordquist and Matt Michener	N/A	Immediately
Improve staffing	• Incrementally, as resources are made available, move from classified staff positions to A/P positions. • Provide necessary expertise training and professional development to support faculty, staff, and students. ○ Responsiveness is expected to improve when fully staffed.	OR: Chris Keane (VPR) and Dan Nordquist	Pending	Pending: Spring 2019 for initial conversion in the ORSO contracting group.
Improve contract negotiation	• ORSO and Office of Commercialization are combining contracting FTE to create an OR Contracting team. This team will focus on complex agreements and support the Grant and Contract Coordinators as needed during negotiations of less complicated agreements.	ORSO: Jessica Smith-Kaprosy (ORSO Contracting Officer)	Pending	Pending: Spring 2019 for initial conversion in the ORSO contracting group.
Improve research development functions	• The VPR has created the Office of Research Advancement and Partnerships (ORAP) to support this activity for faculty support developing proposals.	OR: Chris Keane and Geeta Dutta (ORAP Director)	N/A	Completed
Delegate budget certification	Units may choose the following: • Maintain budget certification through ORSO.	ORSO: Matt Michener	N/A	Pending: Complete CY 2019

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	• Select an individual, within the college, to train unit personnel. The individual chosen would be subject to ORSO approval.			
Improve route of feedback to ORSO for process improvements	• Create a JIRA ticketing system for feedback on processes, procedures, etc. The system will not be used for day-to-day operational needs/requests (this recommendation could be combined with post-award). • Customer satisfaction survey every two years	ORSO: Derek Brown and Matt Michener	Minimal	Pending: Complete CY 2019
Continued leadership development within ORSO	• Provide opportunities for supervisory training, staff improvement development, and leadership training	OR: Chris Keane	$5,000/yr. for appropriate trainings, professional and leadership development	On a recurring basis

Sponsored Programs Services (SPS – Post Award)

Recommendation	Action(s)	Responsible Parties	Budget Commitments	Key Dates
Improve staffing levels & reduce turnover	• Continue efforts to increase staffing levels in SPS. • Provide relevant training to ensure accountants maintain critical skillsets and are aware of changing policies and best practices in the field.	**SPS & Finance & Admin**: reevaluating organizational structure to create opportunities for more experienced grant accountants to progress within the department.	Pending	• FY19: Sent five team members to NCURA's Financial Research Administration conference. • Spring 2019: Backup roster completed for critical functions; team actively cross-training and building SOPs for the same.

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	• Improve bench-depth for critical skillsets:
	    ○ Create backup roster for critical functions.
	    ○ Cross-train across functional teams.
	    ○ Create basic SOPs (SOPs will be fully developed with Workday deployment).
		Identifying funding opportunities for ongoing training and professional development. Additionally, partnering with F&A Committee to request funding to increase staffing commensurate with the level of research supported.		Succession plans and internal mentoring programs in progress.
				• FY20 budgeting for ongoing professional development.

Improve Collaboration between ORSO and SPS	• Formally decide who is responsible for determining the approved budget prior to account setup. Currently, ORSO collects the budget at the time the proposal is submitted. If the funding comes back at a reduced percentage of what was proposed, SPS collects the budget. Additionally, if the budget is not in the "To SPS" line in MyResearch, or if budgets don't match WSU objects and sub-objects, SPS must reach out for clarification. This can cause confusion for the grant administrators and delays account setup. • Development of ORSO and SPS feedback portals in Jira, accessible through each unit's website. • Increased cooperation and coordination between pre and	**SPS & ORSO**: determine who will be responsible for collecting budget information, and where it will be transmitted for more efficient account setup.	N/A	Conversation in progress. Recommendation is for ORSO to (continue to) insert approved budget info on "To SPS" line in MyResearch.

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	post award teams has resulted in a number of improvements during the last two years: ○ Streamlined information flow between ORSO and SPS with efficient use of MyResearch and Jira (eliminated 1 day lag time in department's notification of new awards). ○ Split SPS contacts into their own list in MyResearch. ○ Created an automated email to notify grant administrators and PIs of an upcoming grant termination at 120, 60, & 30 days prior to the end date. ○ Developed a process to notify grant administrators of overdue receivables. ○ Discontinued the CSEIR form by capturing the cost share data upfront on the eREX. ○ Developed a subrecipient			

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	monitoring tracking system within MyResearch allowing SPS to discontinue use of excel spreadsheets. ○ Automated the budget creation process by collaborating with ORSO and ESG to load a flat file nightly to create new account records and removing a data entry step. • Formation of the Pre and Post (P2) advisory group. The group, chaired by faculty, and consisting of faculty and grant administrators, provides real-time feedback on opportunities for improvement in pre and post award processes and collaboration. • Creation of Invoice Tool, which automated 33% of invoices to sponsors; saving approximately 51 labor hours per month.			
Collocate ORSO and SPS and reorganize both under the same Vice Presidential unit	• In 2017, Finance and Administration and the Office of Research reviewed the current structure noting increased coordination and cooperation between the two offices, especially since ORSO was moved to the	**OR and F&A**: continue close coordination and partnership to ensure strong support for pre and post award activities.	N/A	Collaboration and partnership between pre and post award will continue to increase as the Workday implementation moves into post award business process design in April, 2019.

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	same building and floor as SPS. This was further strengthened by natural alignment of the unique responsibilities of pre award under the Office of Research and post award under Finance and Administration. Please also see "Improve Collaboration between ORSO and SPS" above.			
Improve timeliness of subcontract invoicing	• Track subcontract invoicing SLAs in JIRA.	**SPS**: each accountant and their manager monitors SLA adherence.	N/A	Complete. SLA is 4 working days, and average SPS processing time is 3.3 working days.
Improve timeliness of EAA processing	• Evaluate process changes and opportunities for improvement as we move into Workday.	EAAs are currently processed via paper process in Human Resource Services. The EAA process will change significantly as part of the Workday implementation. The Modernization team (MOD) has provided a description of the current system limitations that are creating the issue, and initial thoughts for how this can improve in Workday. **MOD**: For our faculty with large research portfolios and who charge salary expense across many grants, there is a legacy	N/A	Workday implementation In Progress. April 2019 – Business process design sessions Spring 2020 – Begin user testing July 2020 – Begin using Workday Summer/Fall 2020 – Begin system stabilization. Fall 2021 – Begin system optimization https://modernization.wsu.edu/project-timeline/

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		system limitation (number of lines in DEPPS) that doesn't allow HRS and Payroll Services to process certain EAAs in the pay period received. To process, Payroll must wait until the next period so they can manually delete lines from the previous periods to allow processing in DEPPS. As a workaround, some have assigned these few employees to multiple positions to double the lines available. Workday functionality for payroll costing will greatly improve this issue allowing for quicker processing and performing accounting adjustments off cycle.		
Improve timeliness of ETR processing	• Track ETR SLAs in JIRA.	**SPS**: each accountant and their manager monitors SLA adherence. **MOD**: Expenditure Transfers will be processed in Workday using a business process with routing and approval. This will allow for a quicker approval, the	N/A	Complete. SLA is 4 working days, and average SPS processing time is 3.6 working days. Workday business process design ongoing.

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		removal of repetitive duplicate data entry and the reduction in processing errors.		
Improve transparency and communication	• Update SPS website as changes to work schedules are made. • Consider the use of a listserv to announce relevant news to the Research Administrator community. • Improve departmental visibility into when reports are submitted to sponsors. • Consider implementation of Award Kickoff meetings with stakeholders.	**SPS**: work to keep website up to date with work schedules and relevant resources for departmental research administrators. Additionally, added a JIRA process to track this, which is visible to departments. **MOD**: In Workday, the grant administrators in the colleges will be able to see the invoices created in the system as well as the financial reports. The system also tracks due dates. This will resolve the issue of departments not knowing or seeing the invoice/reports we generated and submitted.	N/A	• Complete. Expectation set in SPS to at least acknowledge receipt of incoming email within two business days. Additionally, collaboration and customer service are ongoing departmental goals in SPS. • Complete. SPS piggy-backs on ORSO's listserv to the RA community. • Workday will allow for this visibility; currently, SPS provides confirmation and copies to the department upon request. • TBD – currently socializing with stakeholders. In the meantime, will begin adding related agenda items to RAC meetings along these lines.
Increase priority of account closeout process	• Clean up outdated accounts needing closure. • Stay on top of closeout moving forward.	**SPS**: Actively partnering with MOD to automate as much of this as possible – identified certain criteria which, if met, MOD can batch-close. Internal goals	N/A	Complete backlog on closings by Spring 2020 so that old, dormant accounts are not transferred into Workday. Ongoing as accounts term.

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		include at least one hour per week, per accountant, spent on closing actions - Increased staffing will also aide in the ability to stay on top of this. **MOD**: The Modernization team partnered with SPS to develop a process to prepare closing journal entries and inactivate budget-projects in bulk to aide in cleaning up grant accounts. As of 4/18/19, prepared over 1200 closing journal entries and inactivated over 4900 accounts.		
Improve Cost Share management processes	• Revise BPPM 40.33 – Cost Share. • Improve ability to account for "in kind" cost share. • Disconnect cost share and Effort tracking processes. • Improve ability to distinguish between mandatory, voluntary, voluntary committed, and voluntary uncommitted cost share.	**SPS**: Actively worked with stakeholders to revise BPPM 40.33, and continuing to work with MOD on how these processes will look in Workday. Further, considering policy revision/creation for clarity in this and other research administration concepts. **MOD**: Cost share in Workday is processed	N/A	• Complete. BPPM 40.33 recently revised, pending final posting to PR&F website. • Summer 2020: Workday will change much of what we know about effort and cost share. SPS and MOD are actively discussing best practices with other institutions.

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		fundamentally different. The biggest area of improvement will come from detangling salary cost share from the effort certification process. Presently, to report salaries as cost share, it must be recorded via the effort certification process. Workday separates this process to allow for timely recording and reporting cost share.		
Improve Effort Certification process	• Participate in discovery and design sessions for Workday. • Move away from paper-based process. • Train RA's and PIs on Effort processes.	**SPS**: actively working with MOD team and peer institutions to glean best practices and design Workday grant certification process accordingly. Additionally, SPS teaches the "Effort" and "Cost Share" courses as part of HRS's Research Administrator Series. **MOD**: Workday provides for an online payroll certification process with routing and approval. There will be no paper forms to sign. In addition, a small	N/A	Summer 2020: Workday will go live, and future effort periods will be certified in Workday. Faculty and grant administrators will continue to participate in workgroups to help design how those processes will work. Design of new processes will be based on best practices delivered in Workday and at other Universities using Workday for post award and grant accounting.

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		taskforce of faculty and grant administrators is exploring a reduction in the number of certifications from 4 to 3 per year.		