WRIGHT STATE RESEARCH INSTITUTE

Organizational re-alignment of WSRI within the RSP structure to improve efficiencies and ensure transparency

- WSARC management structure aligned with WSRI departmental leadership to improve WSU Office of the VP-Research visibility into WSARC operations.
- Clearly defined a transparent organizational structure for WSARC demonstrating WSARC's role in the facilitation of WSRI and WSU business functions and mission.
- Established clear oversight guidelines between WSARC and WSU legal enabling transparency and ease of communication.
- Modified the WSARC Board of Directors to Include WSU Board of Trustee's Member and improved diversification of board members from mitigating conflicts of interest and with WSU more outside WSU involvement increasing diversity of the WSARC Board and integration of key management personnel within WSU.
- Established WSARC Executive Committee to provide timely oversight of new contracts and expenditures consistent with updated policy on signing limits in WSARC allowing WSARC to move at the speed of business while also complying with WSU policy.
- Created a WSU/WSRI Executive Advisory Board Chaired that will be chaired by the Council of Deans resulting in improved transparency with University leadership and WSU Board of Trustees.
- Modified Structure and composition of related and affiliated Boards to achieve transparency and compliance with WSU policy and mission.
- Developed employee utilization data and executed staffing reductions to align revenue streams with individual employees and manage individual contribution to organization rates.
- Split Appointment funding opportunities with University colleges and schools creating funding and research proposal opportunities through effective collaboration.
- Developing internal controls to manage daily compliance requirements.
- Established facilities working group to synchronize operations cost across the enterprise which directly resulted in the reduction of facilities maintenance and janitorial services.
- Established a 100% contract review focused on accuracy and the tracking of income and expenses.
- Established required initial and refresher employees training program.
- Compliance – completing 100% review of all compliance requirements for WSRI and WSARC.
  - Document and track annual Significant Financial Interest (SFI) Disclosures are required for all staff ensuring compliance at a departmental level.
  - Cleared staff will be required to take additional training to meet our customers' needs.
    - Annual Security Refresher Training
    - Insider Threat Training
    - SAP and SCI Refresher Training
  - Established WSRI policy and conducted an in-depth review to ensure all employees do not have possession of proprietary data from other companies.
  - Reviewing all contracts through WSARC and RSP to ensure we are meeting all our customers' statutory and regulatory requirements.
  - In depth review of all WSARC and RSP contracts quarterly
  - Training of all staff to ensure consistent understanding of compliance requirements.
  - Reviewing all H1B Visa and Green card work to ensure 100% compliance.

- o Re-aligned departmental policy to adhere to University Policy, unless bona-fide business needs determine the need for policy augmentation. In those instances, specific departmental policies are drafted and vetted through appropriate University stakeholder groups. (HR, CATs, etc.)
- **Bottom line WSARC/WSRI will follow University Policy.**
  - o Augment University Policy as required.
- Roles and responsibilities developed for every position at WSRI/WSARC.
- To be completed by October 30th and then provided to each employee.
- Realigned Deltek and Banner to accurately reflect the individual's supervisors as the review/approval and Appraisal Review leads. Deltek Review/Appraisal Review Lead /Supervisor/Banner ensuring consistency of supervision for employees.
- Review of All Sponsorships, Marketing, and memberships required.
- Review salary and compensation for everyone to ensure equity and we are still participating in the University total compensation study.
- Review of all Personnel Security Clearances sponsored by WSARC.
- Ensured compliance with annual security awareness training.
- Reviewed all Wright State Credit cards, limits and approval process.
- Reviewing all on-site positions in relation to OCIs.
- Creating an Economy of scale of all services across the board.
- Rolled out WSARC and WSRI FY16 Budgets for WSU and WSRI leaderships. Providing regular updates.
- Established new hiring process, compliant with WSU policy; eliminated the use of WSARC grant for name in grant hiring process.
- PIs and PMs will use kick start form and supply to HR and then PeopleAdmin will be used for hiring routing.
- Restarted staffing review meeting.
- Existing staff orientations and staff re-training of everyone on everything.
- Following University strategic hire committee process for any non-direct charge position, per University policy.
- All interactions with State and Federal Political Staff and Office holders must be coordinated with WSRI Executive Director before proceeding.

Drafted and staffed an Affiliation Agreement between WSU and WSARC.

- Created a draft of an affiliation agreement between WSU and WSARC that is now in legal review.

Enhance HR Management, On-boarding and Orientations.

- Established internal WSRI Orientation session.
- Established use of Mail Chimp system to streamline internal communications.
- Conducted Employee Communications Survey.
- Established weekly or Bi-weekly Strategic Staffing meetings to streamline and track hiring activities.
- Established monthly internal newsletter to improve internal communications.
- Established bi-weekly conference call meetings with key University HR staff.
- All new hires are required to attend University orientation sessions as part of on-boarding process.

Key Hires to better focus and improve organizational effectiveness and security.

- Director of Security
  - Implemented mandatory security awareness training.
  - Regular Security inspections.
  - Streamlined security operations for ATIC and WSRI.
  - Improved Counterintelligence reporting with Defense Security Service and FBI.
  - Further strengthened physical security within WSRI.
  - Instituted secure environment for the processing and storage of sensitive but unclassified information.
- ISSM (Information Systems Security Manager)
  - Implemented WSRI network security program.
  - Eliminated any viruses resident on network servers and PCs.
  - Established WSRI "Protect Yourself" information series to increase employee's cyber security awareness.
  - Developed cyber security policies and implemented 'least-privileged-user' changes to deployed PCs.
  - Developed a plan of actions and milestones to ensure WSARC IT services are compliant with DFARS 252.204-7012.
- Director of IT
  - Established HIPAA and ITAR compliance for IT systems.
  - Reduced supplier provider costs for WSARC telecommunications services.
- FAR Certified Contracts Manager
- Separated Contracting and Finance Functions.

Established the Contracts & Procurement Department.

- Created a contracts department to initiate the pre-award and post award cradle to grave contracting/purchasing process.
- Support begins during proposal development and carries through contract closeout.
- Drafted and implemented the Contract Management System, the Contract Action Report and implemented a Purchase Order process within Deltek for subcontracts and CAs to ensure compliance with DCMA requirements.
- Created and implemented a process to purchase WSRI contract equipment and supplies through the Wright Buy Purchase System.
- Created business processes and templates which significantly improved the proposal quality and win ratio which lead to a significant improvement to the WSARC bottom line for 2015. Templates also reduced processing time for contracts/subcontracts awards, modifications and other contract actions.
- Enhanced coordination and communication between the contract department (3 staff) and the more than 20 internal project managers and 90 external government and subcontractor staff.
- Created a Basic Ordering Agreement/Task Order structure for all major programs with AFRL.
- Created standard and centralized contract/NDA/TA/Subcontracting Templates.
- Created and implemented a job authorization and risk management procedure.
- Created and implemented a procedure to track contract deliverables.
- Created and conducted self-inspections on contract records and files.

- Created a property system procedure to record and track all Government Furnished Property (GFP) and Contractor Acquired Property (CAP).

Established facility working group

- Inventory Management was put in place.

Centralized WSARC/WSRI operational support to the execution of business functions

- Created protocols to deconflict WSRI and WSU research opportunity pursuits.
- Expanded staff levels to provide more effective segregation of duties.
- Initiated monthly salary reallocations (previously performed on a semi-annual basis).
- Standardized reallocation algorithms to "percentage of effort worked," consistent with University practices.
- Initiated quarterly Deltek-to-Cognos assessments to ensure all personnel have been reallocated to the correct FOA.
- Standardized Procard Reconciliation process reducing processing time significantly.
- Connected Procard Reconciliations with Travel Reports to ensure accuracy in calculations and reduce administrative requirements.
- Established a process improvement working group to reduce redundancy an increase efficiency of WSRI business processes

Realigned WSARC finance to aid in the reduction of costs and the accuracy of accounts receivable/payable actions

- Reformatted project financials within IBOTS for program management review, while implementing procedures to be explicitly consistent with system of record cumulative values (Banner and Deltek).
- Upgraded Deltek from GCS to CostPoint, now utilizing Project Management module for program management reviews and reporting. Replaced IBOTS with Access Database for Banner related reporting.
- Instituted Deltek Charge Code to Banner FOAP correlation matrix to ensure accuracy between accounting systems.
- Segregated WSARC Activity onto separate funds under WSARC grant to exercise greater system management control of direct contract expenses and administrative expenses.
- Initiated Service Center usage procedures for WSARC assets including the MTEC and UAVs.
- Standardized IBOTS monthly program review data for all contracts for management review (PMRs), developed IBOTS to provide project history, including personnel support and other direct costs, to project managers, and to provide contract/grant contract funding history. Then upgraded Deltek from GCS to CostPoint, now utilizing Project Management module for program management reviews and reporting. Replaced IBOTS with Access Database for Banner related reporting.
- Standardized project permissions to ensure only authorized personnel support contracts/grants.
- Standardized procedures to request project budget modifications.
- Standardized procedures to initiate an execute subcontract actions.
- Provide monthly information on contract A/R history to project managers.
- Publish Deltek Chart of Accounts for common access to all administrative functions.
- Established "Watch List" database for daily review of new funding opportunities.
- Established "Opportunity Pipeline" database with common access to help track future funding opportunities and manage which opportunities to pursue.

- Standardized cost estimation process ensuring proposals are consistent and accurate with relevant costing components.
- Standardized bid & proposal request forms.
- Created employee utility reports to monitor employee activity on contracts.
- Developed infrastructure for Timecard Authorization Letters to information personnel of their budgeted hours for each project.
- Established financial "Book of Reports" to monitor key aspects of the organization's health.
    a) WSRI/WSARC Income Statements
    b) Deltek Statement of Indirect Cost
    c) WSARC Balance Sheet
    d) WSARC Asset Depreciation
    e) Cash Flow Forecast
    f) Bank Account Reconciliations
    g) Unbilled Accounts Receivable
    h) Aged Accounts Receivable
    i) Aged Accounts Payable
    j) Semi-monthly check runs details
    k) Financial Trend Report
        i. Revenue Trend
        ii. Direct Expense Trend
        iii. Indirect Expense Trend
        iv. Incurred Rates Trend
        v. Contract Aged A/R Trend
        vi. Employee Utilization Trend
        vii. Indirect Labor Cost Trend
        viii. Contract Funding & Balance Trend
    l) Monthly Percentage of Effort Report
    m) Budget-to-Actual Report
    n) Contract Summary Report
    o) New Contracts Awarded Report
- Implemented fully compliant Total Time Accounting Process.
- Created database for Deltek Floor Check (i.e. Timecard Failures) Reports.
- Standardized Timecard Correction Procedures.
- Created Subcontracts Management module for WSARC subcontracts.
- Invoicing/billing was up to 7-8 months in arrears on several contracts and expenses had been missed in the invoicing process. Now everything is invoiced within the new monthly closing process every month and is current with expenses.
- Implemented practices for outstanding receivables. Now most A/R is paid within 30-60 days (excluding ATIC and DPI).
- Created 'Contract Status' worksheet to highlight all awards within WSARC to:
    a) quickly answer questions.
    b) help facilitate invoicing to ensure no contract was missed.
    c) act as a double check for when awards were ending.
- Additionally, added "Contracts Awarded" to spreadsheet showing the escalation from month-to-month throughout the year.

- Initiated emailing the PM's, Contracts Dept. and all of Finance team as well as other key personnel when awards have been processed in Deltek for their records.
- Initiated copying PM's on invoice submission to sponsors.
- Implemented and developed purchase requisition process and applicable form that is now completed before a PO is created in Deltek. This has formalized the purchasing process. Now Finance must approve all requests for purchase orders to ensure funding availability.
- Implemented procurement process and procedures identifying that only Subcontracts and Consulting agreements are to be processed in Deltek. All other types of purchasing are through Wright Buy and billed back to the ARC on the 668900 invoice from WSU. This ensures compliance with Wright Way Policy.
- Previously no official tracking monitored which progress/tech reports were being sent to sponsors. A tracking chart is now utilized to help follow up submission data.
- All invoices are now kept in electronic and paper form.
- Created readily available file of all 'Open A/R' so that anyone that has a question to what is outstanding can quickly look to see which invoices are not paid. This paper folder also helps to quickly produce the past due notices to ensure that the open A/R does not go beyond the 90 days.
- Send contracts department the contract status worksheet for its files at the end of the monthly close.
- Established process for newly awarded contracts process to update Deltek within 2-3 days business day.
- Added appropriate staff creating appropriate segregation of duties and enhancing Finance Team efficiency.
- Standardized the utilization of WSU Wright Way policies so WSARC can mirror the University and improve compliance.
- Established and documented standard monthly closing process increasing availability of critical financial data enhancing decision making.
- Eliminated previously documented audit finding related to recognition of contract revenue. Now have 2 consecutive clean audit opinions with no similar findings noted.
- Developed standardized Due To/From WSU analysis and documentation as part of monthly close process.
- Established open trustworthy and transparent dialog with University's key Division of Business and Finance.
- Nearing completion of financial transition of ATIC financial system to streamline and reduce cost associated with ATIC.
- Development of draft business relationship guidelines for all activities between WSU, WSRI and WSARC.
- Development of Finance Team blending staff with both industry and higher education experiences.
- Provided training material to all key WSRI staff for implementation of new Uniform Guidance Super Circular including WSATC Officers, Contracts Staff, Finance Team, Project Managers and Principal Investigators.
- Enhanced training opportunities for all of Finance Team members.

- Changed internal and external image of WSARC and WSRI to one of transparency. This is evidenced by the financial results and data now provided to both the WSARC Board and key University leadership.
- Discovered and communicated with University financial officer's flaw in current DHHS negotiated F&A rate with respect to excluded WSRI omitted indirect cost. Correction to be made during next University Cost Proposal submission which will result in increase in recoverable rate for all University research awards.
- Initiated integration of University SOS Program and International Travel Program for WSRI employees working are WSARC contracts and business development.
- Developed, submitted and gained approval of WSARC Asserted Indirect Rates for all WSARC grants and contracts.
- Implemented differential Indirect Overhead Rate structure to allow for more competitive balance for proposals recognizing the creation of differential cost pools based on employee location.
- Integrated NCMR into WSRI/ WSARC portfolio of proposal options.
- Provided funding at University request to MVRF and in doing so helped develop new documented and collateralized legal agreement transitioning from previous University uncollateralized methodology.
- Implemented invoice and approval process for all WSRI/ WSARC expenditures.
- Expanded Red Flag Training Program for all previously untrained Finance Team members.
- Developed and utilized new Salary and Wage workbook to track and measure all annual increases against Performance Review summary.
- Implemented comprehensive and integrated WSRI/ WSARC Budget Development Process.
- Assisted in comprehensive multiple month Forensic Audit providing over 1,000 document requests.
- Under a shortened timeline managed due diligence procedure to evaluate the financial viability of investment of WSU BSOM in Clinical Trial company purchase resulting in saving University over $3,000,000.
- Coordinated with University office of Risk Management on the review of all WSARC Insurance coverage to eliminate the duplication of coverages.
- Transitioned the Proposal Process to mitigate contract risk for unrecovered Indirect Cost.
- Eliminate over 3 year's backlog of WSRI F&A College and Faculty Director Payments due.
- Standardized allocation policy of F&A payments to colleges and Faculty Directors.
- Quantified for transparent University review history of all contract decision shortfalls for WSRI and WSARC.
- Executing with University Planning and Engineering Office two approved state capital projects. One project for the development of the SCIF located at WSRI and a NCMR LVC related project.