



Seeking Success for the Sponsored Research Enterprise at California State University, Dominguez Hills:

Report of the Task Force on CSUDH Research Enterprise Pre & Post Award Services

Respectfully Submitted by Members of the Task Force:

Mohsen Beheshti, Professor of Computer Science

Keith Boyum, Special Assistant to the President, Task Force Chair

Leena Furtado, Professor of Education

Bill Chang, Director, Enterprise Applications, Division of Information Technology

Kamal Hamdan, Director, CA STEM Institute for Innovation and Improvement,
College of Education

Rod Hay, Dean, College of Natural & Behavioral Sciences

James Hill, Professor of Physics and Chair, CSUDH Academic Senate

Dorota Huizinga, Dean, Graduate Studies & Research

Terry McGlynn, Professor of Biology

Jerry Moore, Professor of Anthropology

Paz M. Oliverez, Interim Associate Vice President, Student Success, Division of
Student Affairs

Katy Pinto, Associate Professor of Sociology

Russel D. Statham, Chief Operating Officer and Chief Financial Officer, CSUDH
Foundation

Maite Zabala-Alday, Director of Corporate and Foundation Relations, University
Advancement

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Introduction.

The University's still-new Strategic Plan, adopted at the close of 2014, includes this goal, objective, and this strategy:

Goal 4: Ensure, stabilize and grow the university's fiscal resources by diversifying and increasing revenue sources.

Objective A: Increase revenue from public and private donations, grants, contracts, gifts, partnerships and sponsorships to the University by 15%

. . . .

Strategy 4: Enhance infrastructure, support and incentives for faculty interested in obtaining faculty-secured public, private grants, contracts and gifts.

Evoking this element of the Strategic Plan as essential background, President Willie J. Hagan's letter of August 18, 2015¹ established this *Research Enterprise Pre & Post Award Services Task Force*, charging it to:

- Thoroughly examine how we currently manage our pre & post award processes;
- Look at best practices nationally in terms of policy, practices, organizational structure, staffing, funding; and
- Recommend steps to enhance our effectiveness and efficiency, stimulate additional faculty interest and outcomes in seeking external grants and contracts and generating additional and sustainable increased revenue for the university.

The final membership of the Task Force is shown on the title page of this report.

The Task Force has undertaken its investigations and deliberations as generally outlined in an appendix below², where we identify "inputs" to our deliberations. We offer two general goals immediately below, in Part I of this report, justifying each in terms of our investigations and conclusory judgments. In Part II of this report we recommend more specific strategies for taking action in alignment with the general recommendations.

¹ Please see Appendix A for the charge from the President.

² Please see Appendix B.

- We envision the development of a strengthened CSUDH faculty culture that, more fully than now, embraces the faculty role in research alongside admirable commitments to teaching and service.
 - a. Note that a modest and proportionate increase in the campus emphasis on research is timely, as we engage in new tenure-track hiring across the next few years. On one hand, we can seek to encourage new faculty to strongly embrace research, including funded research. On the other hand, doing so can amount to a recruitment tool. We may secure faculty with stronger credentials, given this commitment, than we would have secured without such a commitment.
 - b. Note also that we can intentionally build this embrace of research to include the practice of engaging students in faculty research. This is, of course, a high impact practice, and that means that encouraging research can mean also a fuller commitment to powerful teaching.
 - c. We note further that a regional university, such as CSUDH, that includes a large proportion of students who seek a Master's degree or post-baccalaureate credential asks its faculty to be especially well-prepared to teach at a high level. Faculty who are actively engaged in their disciplines are the right faculty for these teaching assignments. Such faculty are fostered, nurtured, and supported by research; and such faculty are attracted to an institution that explicitly values research.
 - d. This is also in furtherance of the CSUDH Strategic Plan, especially Goal 1 B. 3:

Support and create centers or institutes that are responsive to the needs of students and the region

We take the reference to centers / institutes as means for fostering faculty research.

- e. Finally, and to a certain extent speculatively: we note that forecasts for the next two or three decades in higher education, uncertain as they may be as to pace and specifics of change, imagine that modern societies will value both the creation of new information and recent graduates who can show strong capacities for working in teams, and for critical thinking. One is a direct product of research. The other can well employ student participation in faculty research as a strategy for achieving team work skills and critical thinking skills.

The second premise is an argument that we judge to be strong, namely that

- CSUDH is well-positioned to realize increased returns in dollar terms from strategic investments in supporting sponsored research.

- a. We think that indirect cost recovery totals can increase. In support of that conclusion, our judgment is that these three indicators (usually calculated annually) can increase, for the reasons indicated.³
- (1) The number of new grant submissions. The campus has a history of many more grant submissions than CSUDH presently reports. As recently as eight years ago, in 2007-08, CSUDH reported 148 new submissions. But six years later, in a very difficult era for university finances in general, and in support for the research function in particular, the number of new submissions had tumbled to 34. The university has shown a recent increase, to 51 submissions in 2014-15. We are optimistic that if the importance of faculty research is elevated, and if strategic new investments in the funded research enterprise are made, this university can achieve a higher level of new grant submissions.
- (2) New dollars requested. In 2014-15, CSUDH nearly equaled the \$9.7 million requested in 2010-11, with a total of new dollars requested total of \$9.1 million. This came after notably weaker performances in the intervening years, where a low of \$3.7 million new dollars requested was posted for 2013-14. We are optimistic that if the importance of faculty research is elevated, and if strategic new investments in the funded research enterprise are made, this university can achieve a higher level of new dollars requested annually.
- (3) Annual research and sponsored programs expenditures. Three sister CSU campuses of approximately our size (<400 full time faculty) who have made recent new investments in the funded research enterprise increases in returns to those campuses. These are San Bernardino, East Bay, and Humboldt. We are optimistic that if the importance of faculty research is elevated, and if strategic new investments in the funded research enterprise are made, this university can achieve a higher level of annual research and sponsored programs expenditures.
- b. A second judgment reinforces this view. It is that faculty can be encouraged, perhaps can be incentivized, to seek grants from funders who return higher levels of indirect cost (IDC) recoveries. Presently, the U.S. Department of Education provides an extremely large share of CSUDH grants,⁴ but it offers just 8% IDC for most of its grants. Other CSU campuses – Humboldt is a good example – have been able to incentivize faculty to seek grants from agencies offering higher IDC rates.

We turn now to recommendations for specific strategies to achieve these large-scale goals.

³ Details are found in Appendix C, *CSUDH Grant Activity and Research*. See also Appendix D, *Pre-Award Productivity in CSU Campus Comparison*. Our thanks to Dr. Dorota Huizinga for this information.

⁴ See Appendix C.



Part II. Specific Strategies.

❖ Ways and Means for Elevating the Importance of Funded Research

Finding: The Task Force contends that research is undervalued at CSUDH. Faculty research, scholarship, and creative activity are not adequately supported--especially when compared to other, competing goals such as improving rates of student success and graduation rates. If the University is to achieve Goal 4 of the CSUDH Strategic Plan, then resources need to be allocated to demonstrate the University's commitment to research at CSUDH.

We offer below our suggestions.

A. Presidential Recognition.

4. **Recommendation. Public Statement:** We recommend that the President of the University make a public statement concerning the importance of research, scholarship and creative activity.

We offer a draft of such a statement in an appendix.⁵

5. **Recommendation. Senate Consultation:** We recommend further that, in developing the statement, the President engage the Academic Senate as a matter of consultative governance. While we recognize that the Senate will make its own judgment concerning a Presidential statement on the importance of research, scholarship and creative activity, we would welcome a Senate posture that was clearly supportive of such a statement.

⁵ Please see Appendix E.

Finding: The President and the Provost can also celebrate research accomplishments in ways that the university community will find suitable and welcome. Recognizing that some efforts like these have already been initiated, we recommend this below, and offer modest illustrative suggestions.

6. Recommendation. *Cabinet-Level Recognition:* We encourage the President, together with the Provost and other vice presidents, to consider and implement ways of recognizing, of congratulating, faculty principal investigators.

We wish to recognize that efforts such as these are underway. We commend the Faculty RSCA Recognition and Book Author events sponsored by the Office of Graduate Studies and Research.

B. Improved Communications.

Finding. We commend current efforts such as the newsletter from the Office of Graduate Studies and Research. Of course the campus as a whole appears to show good appreciation for student research when we hold a “day” to honor that. Broadly, these good efforts should be extended.

7. Recommendation. *Communication Strategies: Investigate and implement other ways to communicate the value that the community assigns to RSCA.*

We imagine such things as a recurring feature in *Dateline Dominguez*; such things as open houses for faculty funded RSCA activities that are scheduled to coincide with campus events. As we move forward on plans and construction for a new science building, to take another example, we should key open houses and public displays / commendations for funded RSCA when the Trustees finally approve the building plans; when ground is broken; when in some ceremony the keys to the building are accepted by the President on behalf of the university community; etc.

8. Recommendation. *Communicating Research Connections to the Strategic Plan, and to System-wide Priorities:* The Provost should identify and publicize connections to the strategic plan for the California State University, and to the CSUDH strategic plan, beyond the specific Goal 4 strategy of enhancing support, infrastructure and incentives for seeking grants.

Examples include these.

- a. Note the inclusion of research as a priority at the systemwide Office of the Chancellor, perhaps best expressed by the placement of an Office of Research Initiatives and Partnerships within Academic Affairs.⁶ We also note the inclusion item number 2 [below] among three “priorities for the institution” in *Access to Excellence*, the systemwide strategic plan:

This new strategic plan sets forth three priorities for the institution:

1. *Increase student access and success;*
2. *Meet state needs for economic and civic development, through continued investment in applied research and addressing workforce and other societal needs; and*
3. *Sustain institutional excellence through investments in faculty and staff, innovation in teaching, and increased involvement of undergraduates in research and in their communities.*⁷

Focusing on this university’s strategic plan, we can consider the following.

- b. In a measured pace, we encourage seeking internationalization goals via research that is sited outside of the United States, or via research in which CSUDH faculty partner with colleagues from other nations, or via research in which faculty lead students on research-focused experiences abroad [cf. Goal 1, Objective C].
- c. CSUDH can build on the University’s commitment to high impact practices for student success by featuring faculty-student research and creative activities [cf. Goal 2, Objective B].
- d. Let us seek opportunities to encourage research of keen interest to employers in the community, as a means of supporting job placements for graduates [cf. Goal 2, Objective C], and as a means of building networks of friends who may be philanthropic supporters of the university [Goal 4].

⁶ See generally <http://www.calstate.edu/research/>.

⁷ <http://www.calstate.edu/accesstoexcellence/plan-goals.shtml>.

C. Deans' work with faculties to address the significance of grant proposals in RTP decisions.

Finding: The Task Force heard reports about some faculty who believe that, at least prior to tenure and promotion to Professor, it may be risky to devote scholarly time and energy to the creation of a proposal for funded research. The problem as we understand it is the fear that a proposal, even if demonstrating currency in the field and identifying important topics for research, may not “count” toward tenure or promotion.

In light of this, we offer a recommendation, as follows.

9. **Recommendation. *Work with Faculties:*** In light of this, we recommend that college deans encourage their faculties to review their guidelines for faculty performance as to research and creative activity generally, and specifically as to the “worth” or value of proposals for funded research.

We recognize that RTP guidelines are reviewed and updated by departments as new hiring takes place. So, let us be clear: this is not a proposal for a mandated review – rather, this is an invitation to interested faculties that we think college deans might convey, with a focus less on valuing research per se, but on valuing proposal development.

D. Faculty Development Center: partner with the research office to train faculty in grant-seeking.

Finding: It is the judgment of the Task Force that, especially as we build programs to support the professional development of new faculty, the Faculty Development Center can play a strong role. We observe that, partnering with the Dean of Graduate Studies and Research, commendable efforts have already been initiated. We encourage this activity.

10. **Recommendation. Workshops; Training Opportunities:** In response to the recommended actions by the President in consultation with the senate, by other Cabinet members, and by faculty in disciplines, we recommend that the Faculty Development Center offer workshops or other training opportunities for faculty who wish to begin a program of research that contemplates external funding.

We recognize as good examples of such workshops a grant writing academy, *Grants for My Research*, a workshop entitled *Starting My Research*, and *Writing Successful Intramural Grant Proposals*.

❖ Ways and Means for Making New Strategic Investments

Findings: We think that larger indirect cost (IDC) returns to the university can be encouraged and are attainable. Larger IDC returns can make affordable - in the medium to long term - the strategic new investments that we recommend. A scholarly literature supports ways and means for doing this, as is shown in an appendix.⁸

Findings: Our judgment is that there is no quick fix that will result in “automatic” increases in either proposal submissions or grant awards (and consequent IDC distributions). Although we make recommendations below, concerning improvements in the administration of pre-award and post-award support at CSUDH, we judge that increases will be achieved only over time.

E. Short-Term Recommendations for Encouraging Proposal Development and Submissions.

⁸ See Appendix F, *Barriers and Motivators to Faculty Grant Writing*. We acknowledge with thanks this contribution from Dr. Dorota Huizinga.

11. Recommendation. Hire Pre-Award Staff: As soon as possible, hire additional staff in the office of Graduate Studies and Research. A wise choice may be to hire at least the following. [1] A staff person to encourage and work with faculty as they develop programs of research, and proposals for funding. Informally, this is a “pre-pre” proposal staff member, and should require an additional 0.5 FTE. [2] Another 1.0 FTE is recommended to add a Director or an Associate Director of Research and Sponsored Programs. Note that both provide direct services to faculty.

12. Recommendation. Programs to Encourage Grant-Seeking: Working with the pre-pre proposal staff member, and with others as appropriate (including, e.g., the Faculty Development Center, college deans, and consultants), build programs to encourage faculty to seek grants or sponsored research. At the same time, encourage grant-seeking in other divisions, including University Development, and Student Affairs.

Appropriate programs may target faculty at early stages of their careers, as research agendas and grant-seeking habits are initially put in place. (Compare examples associated with Recommendation #10.) Other programs may engage, nurture and support the work of faculty who are more experienced in seeking and winning external funding.

13. Recommendation. Incentivize High-IDC Proposals. We recommend that the Provost provide special incentives for faculty grant-seeking that is directed toward agencies offering higher indirect cost recoveries, e.g., NIH, NSF.

We recognize that this is not a simple thing to do. None on the Task Force wish to de-value or to discourage grant-seeking from the U.S. Department of Education, to take a major example. One approach could be to offer a modest set-aside for proposals directed toward high IDC agencies in a context of a program of support for grant-seeking generally.

At the same time, we recognize the importance of indirect cost receipts for purposes including facilities and equipment procurement and maintenance. We note that a vigorous research program, with the resultant IDC allocations, provides resources for enhanced facilities and new equipment. These resources reduce the amount of baseline funding needed to support research and scholarly activity. In addition, IDC allocations enhance subsequent research by providing support for grant writers, conference travel, and course reassigned time.

**✓ Longer-Term Recommendations for
increasing IDC returns.**

Findings: Judged either against national norms for best or recommended practices, or against careful comparisons between CSUDH and similarly-sized sister CSU campuses, CSUDH is very under-invested in structures and dollar support for faculty who wish to seek sponsored research. We reach this judgment after reviewing a number of sources, as follows. We cite or enumerate [in footnotes below] the items we accessed and reviewed, which lead to this finding. They include these.

- Best / recommended practices literature⁹ was accessed and provided to Task Force members, and we also discussed a document that summarizes some best / recommended practices literature. The summary document is provided as an appendix to this report.¹⁰
- We reviewed as well the results of structured interviews with senior research administrators at CSU East Bay, at Humboldt State University, and at CSU San Bernardino, undertaken by Dorota Huizinga and Keith Boyum.¹¹ The same universities provided us with their organization charts. We note that these universities are of interest inasmuch as they are approximately our size, and are routinely included in the comparison band that CSUDH also inhabits in Chancellor's Office reports; and each has recently reorganized its administration of pre and post award services.
- Prior to undertaking comparisons, the Task Force also heard presentations describing the current administrative organization(s) of pre and post award operations.¹²
- We additionally heard presentations setting those current organizations in a context of professional standards for offices such as these.¹³

⁹ Lauren Edmonds, Research Associate, and Priiya Kumar, Research Manager, The University Business Executive Roundtable Custom Research Brief, *Increasing Efficiency in Research Contracts and Grants Processes*. Washington: The Education Advisory Board, July 2012. See also Luke Maher, Research Associate, and Lisa Geraci, Research Manager, University Leadership Council, *Management of Research Awards from Private Sponsors: Custom Research Brief*. Washington: The Education Advisory Board, 2011. See also Karishma Furtado and Jeff Durkin, Research Associates, and Aashna Kircher, Research Manager, *Organizing and Administering Pre- and Post-Award Services: Custom Research Brief*. Washington: The Education Advisory Board, June 17, 2011.

¹⁰ See Appendix G, *Review of Recommended Practices Reports*.

¹¹ See Appendix H, *Summary Chart: The Administrative Organization of Research & Sponsored Programs at CSUDH and at Three Other CSU Campuses*. See also Appendix I, *Organization Charts for Research and Sponsored Programs*.

¹² See Appendix J, *Post Award Administration at CSUDH*.

¹³ See Appendices K, *CSUDH Post-Award Administrative Needs – As Per Professional Standards* and M, *Graphic Representation of Pre-Award Functions and Needs for Services*; and L, *Graphic Representation of Pre-Award Functions and Needs for Services*.

- Finally, we also reviewed reports of costs, and for purposes of this report we include two appendices that estimate costs for the staff that CSUDH pre and post award operations should have, if they were to come up to the standards referenced.¹⁴

Finding: CSUDH principal investigators (PIs) report great dissatisfaction with the services provided (or not provided) by the post-award staff and processes in the Foundation. In reaching this judgment, the Task Force reviewed results from the Spring 2015 study undertaken by Dr. Katy Pinto, Associate Professor of Sociology at this university, who reported on her interviews of faculty who have experience with the campus systems that are charged with supporting funded research. She found that principal investigators, in a context of unhappiness with services received (or not received), often hold negative views about how the Foundation provides staff and services.¹⁵

The Task Force itself includes a number of successful recipients of grants, and in reaching this finding we draw also upon the firsthand observations shared by those members.

Beyond that, the Task Force also heard reports from other CSUDH principal investigators who have been dissatisfied with post-award services. These were individual communications, often informal, and it is not clear as to the timing of the experiences on which negative perceptions were based. This bears particular note, as both the Dean of Graduate Studies and Research, and the Foundation COO / CFO are still new in their respective positions, and new to this university.

Note that we did not hold formal hearings, and the Task Force did not survey the faculty.

It is important also to note that opinions and attitudes about service levels provided appear to have been developed over a considerable number of years. In that light, we observe explicitly that the current incumbents in the Office of Graduate Studies and Research, and in the Foundation's Chief Operating Officer and Chief Financial officer position, are still recent hires. We make no negative judgments about individual performances, and we commend the reports of recent improvements in both pre and post award services that were described in Task Force meetings.

14. General Recommendation. Adopt a Vision. New strategic investments in the pre and post-award process should be made with an end goal, or a vision, clearly in mind. Our vision is this.

¹⁴ See Appendix M, Budget Estimates for Post Award Additional Staff at CSUDH, and Appendix N, Budget Estimates for Pre- Award Additional Staff at CSUDH, With Operational Budget Impacts Shown.

¹⁵ We include a summary of Dr. Pinto's recommendations at Appendix O. See also Dr. Pinto's paper at Appendix P.

In a context of larger indirect cost distributions to the university, provide larger, well-trained pre and post-award staffs that are more integrated, less *siloed*, in their services to principal investigators, with the core mission and the best tools to serve principal investigators (and would-be principal investigators) very well.

Finding / Further Comment Relative to Recommendation #14. Best or recommended practices literature calls the envisioned administrative structure a “hybrid” arrangement, which notably has been adopted by the three CSU campuses which we investigated in detail on the basis that each is comparable in size to CSUDH but which feature apparently and reportedly more robust and more satisfactory administrative organizations. The three are Cal State East Bay, Humboldt State University, and Cal State San Bernardino. All are routinely arrayed alongside CSUDH in CSU Chancellor’s Office presentations, comparisons and analyses of research activity in the CSU system.¹⁶

We commend consideration of hybrid administrative organization below, at Recommendation 16.

✓ **Bolstering and Seeking Improvements for the Post-Award Process.**

Finding. We note that presently the Chief Operating Officer and Chief Financial Officer, CSUDH Foundation (the COO / CFO) has remarkably few opportunities to interact with faculty PIs, and to gain their feedback as to the performance of post-award services. We note that in the recent past the COO / CFO has suggested forming a Post Award Advisory Council with which he might interact. We endorse the concept, which usefully included these specifics:

- On-going review of research and sponsored program administration policies, training systems and business practices and processes in the context of changing funding and regulatory environments.
- Identify opportunities for how the Foundation’s Post Award Administration of Grants and Contracts unit can improve services to Principal Investigators and the University Community.
- Assess the impact of proposed changes affecting research and sponsored programs administration, including policies, systems and processes and help prioritize changes and provide feedback to the Foundation.
- Serve as a conduit for information exchange between the Foundation’s Post Award staff and the CSUDH research administration community.

¹⁶ See Appendices H and I.

15. **Recommendation. Post-Award Advisory Committee (Council):** We recommend that the Foundation COO / CFO, in consultation with appropriate interested parties, establish an advisory committee or advisory council, with whom Foundation administrative leaders will interact.

We envision a group of three or four principal investigators plus the Dean of Graduate Studies & Research convened by the Foundation COO / CFO. The group would receive and discuss, as appropriate, reports of services rendered, of trends or changes in volumes or levels of activity, of plans for growth and improvement, and similar subjects. Advice might be sought and received concerning publicizing the services provided by the Foundation, with the general goal of achieving transparency, and trust.

16. **Recommendation. Expert / Consultant Program Review to Seek Improvement of Both Pre- and Post-Award Services:** We recommend that the Foundation engage an expert consultant to review and generate proposed action plans for improving post-award services to PIs. We encourage as a part of the exercise elements, described below, that will also touch upon pre-award administration.

Our recommendations 17 – 22 should be part of the evaluation undertaken by the expert consultant and committee [council]. The evaluation should transparently reveal the actual distribution and use of indirect cost returns.

We encourage, further, that the consultant evaluate these possibilities, which we found in our review of best / recommended practices literature, and/or in our review of sister CSU administrative organizations of research services:

- Placing pre and post-award services in a single “hybrid” unit;
- Providing for co-location and cross-training for pre and post-award staff;
- Making pre and post-award staff all state employees.

We envision the expert consultant interacting either with a Post Award Advisory Committee [Council] or with an ad hoc group that has approximately the composition outlined for such a group in Recommendation #15.

17. Recommendation. Improvement of Post-Award Services: We recommend that the Foundation COO / CFO act with deliberate speed to improve the provision of post-award services, and make reports to the advisory committee about his plans and actions not less frequently than every six weeks. Goals should include making customer service a high priority.

This may include objectives such as ensuring that PIs:

- have easy access to financial accounts: make the online accounts user-friendly;
- are provided with financial accounts that are timely; and
- are provided with financial accounts that are accurate and suitably complete and detailed.

Finding. We observe at least three communication deficits that can be overcome with strengthened outreach initiated by the Foundation. First, the CSUDH community presently has few opportunities to know about, to learn about, the levels of grant activity on the campus. Second, PIs should be engaged via frequent communications at a level of helpfulness not available now due to staffing deficits. Third, two understaffed and plainly stressed offices – which seek to provide pre-award services, and which seek to provide post-award services -- are not presently engaging each other in routine, robust and fruitful ways. Accordingly, we have the following recommendations.

18. Recommendation. Add Post-Award Staff: We recommend that the Foundation add a Director of Post-Award Services, who would be a point person in initiating and maintaining communications with PIs, could serve as a designated leader for the recommended advisory committee, and who would engage the Office of Graduate Studies & Research as well as the larger CSUDH community.

Finding / Further Comment Relative to Recommendations #17 and #18. In Task Force interactions, we learned that some post-award failures may jeopardize the ability of CSUDH PIs to receive new grants. We believe that post-award staff should be sufficient in number, and sufficiently well-trained, to support PIs in the generation and timely submission of final reports, and of other required items.

In light of this, we offer Recommendation #19.

19. **Recommendation. *Ensure the Strength of the Post-Award Staff:*** We understand that post-award staff now receive professional development opportunities. We recommend that these be evaluated, and where appropriate, strengthened. In the same vein but more holistically, we recommend that the professional capabilities of post-award staff be assured as recruitments and personnel evaluations occur.

- Note that we do not find that the professional capabilities of current post-award staff are deficient. We have not evaluated them in any way.

20. **Recommendation. *Engage the CSUDH Community:*** We envision and recommend communications to the community at large, perhaps to include an annual presentation to the Academic Senate; to PIs on perhaps a monthly, user-friendly, reminder-filled, and help-available basis and sensibility; and to college deans, the Provost, and the Associate Vice President for Graduate Studies and Research, showing levels of grant activity in each college, upcoming deadlines, action requirements, and congratulations to any faculty stars (in the area of grant receipts) within the college.

- One might envision, for example, monthly communications that, among other foci, include a review of new award notices; the number of active grants presently being pursued on the campus; generally, what's coming up this month and the next, coupled with offers to help: *if you need some advice, come to see me.*
- This would, then, entail providing frequent updates and advice to PIs, easy access to accounting (e.g., recent and cumulative draw-downs), offers of help, and such things as reminders about due dates for interim and final reports to funders.

21. **Recommendation. *Engage the Office of Graduate Studies and Research:***

Especially with modestly improved staffing levels in both offices, some specific work to engage each other, and to build collegial relations, should be possible. We recommend it as a priority, which may be lent specifics as the referenced advisory committee is inaugurated. That is, the advisory committee may also be asked to serve as a vehicle for this cross-office engagement.

Finding. In Task Force interactions, it became clear that there is at least some confusion or disagreement about the distribution of responsibilities as between pre and post administration offices. An example is where responsibility for post-award compliance with Federal regulations lay in the time periods that were the subject of a recent audit, and where they lie now.

22. **Recommendation. *A Manual for Pre and Post Award Services Responsibilities.***

Begin work soon, and set a goal for early completion, of a manual that clearly sets out the responsibilities of pre and post award services.

✓ **Support the needs and interests of Student Affairs, and of the Division of Advancement, as actions are taken to strengthen pre and post-award services.**

- Although the Task Force focused most of its attention on support for faculty who seek and receive research grants, we also received and reviewed helpful perspectives on their divisions by Task Force representatives from Student Affairs and Advancement.

✓ **Encourage and support government and private grant applications submitted by Student Affairs for student support programs and services.**

Finding: The Task Force heard a report about the interest of Student Affairs in building and maintaining a strong infrastructure for the administration of grants;¹⁷ and the Task Force commends Student Affairs staff for bringing significant resources, often Federal grants, to CSUDH. A recent example, reported in Dateline Dominguez on November 10, 2015, is the receipt of two U.S. Department of Education TRIO grants totaling \$2.3 million to improve services for more than 220 military veteran students, those with disabilities, former foster youth, and many others on campus.

23. Recommendation. *Service to Student Affairs:* Especially in the post-award phase, ensure that Student Affairs staff have the same timely and accurate access to information as is recommended for faculty PIs.

✓ **Partner with University Advancement to seek philanthropic support for faculty research and creative activity, and to secure strong grants and gifts administration.**

Finding: The Task Force heard a report about the interest of University Advancement and the Development Office¹⁸ in building and maintaining a strong infrastructure to manage benevolent or philanthropic support that is offered, among other purposes, for faculty research and creative activity. Ensuring compliance with appropriate regulations is a particular concern. We encourage the on-going work to help all parties, especially faculty, to recognize the distinctions between gifts and grants.

¹⁷ Please see Appendix P.

¹⁸ Please see Appendix Q.

24. Recommendation. Service to Advancement: Especially in the post-award phase, ensure that Advancement staff have the same timely and accurate access to information as is recommended for faculty PIs. Compliance with appropriate regulations is a part of this, and is a basic requirement.

✓ **Concerning Indirect Cost Distribution Policy**

Findings. Our review of the CSUDH Indirect Cost Distribution Policy, dated June 2010 and agreed-to by persons no longer at the university, is in need of review.¹⁹ Our vision entails the re-writing of current IDC policy in an environment of substantially increased IDC dollars available on campus.

Particularly inasmuch as we have not yet achieved sustainable increases in IDC returns to the campus, we are not prepared now to author a new IDC policy. However, we offer below features that we think should be a part of a new IDC policy.

Findings. We note that the current IDC policy provides “woodenly” for set sums to be allocated to the Foundation, to Graduate Studies and Research; and then distributes IDC on a 1/3 - 1/3 - 1/3 basis to the PI, the academic department, and the college dean.

As to the one-third / one-third / one-third scheme: While fair and unobjectionable on initial review, this policy has the unfortunate consequence that IDC distributions can lie fallow across time, especially where they are small, not useful for activities that might make significant differences – especially, for reassigned time away from teaching that can be devoted to proposal preparation. A recent calculation of such fallow IDC monies showed a campus-wide total in the half-million dollar range.

We find also that actions to “sweep” or re-deploy these dollars run a high risk of appearing to be unfair, of changing the rules after the game has begun.

Findings. The Task Force believes that ways and means must be found to increase the return to principal investigators, college deans, and the Graduate Studies and Research office.

¹⁹ See Appendix R, Appendix R, CSUDH Indirect Cost Distribution Policy, June 2010

25. Recommendation. *Principles to Embrace for a Stronger Indirect Costs*

Allocation MOU. A revised and improved MOU for the distribution of indirect costs should be built upon principles such as these that follow immediately below. (Note that the first three bullet below can occur even without a new MOU.)

- Encourage the Foundation Board to consider additional distributions of money, especially to PIs who can show that support would result in the development of a new grant proposal.
- Make the allocations of indirect cost monies transparent. Report on allocations to deans and others interested, and place reports on the Foundation web site.
- Encourage deans to work with faculty to deploy small amounts of IDC funds that may presently lie fallow in PI or department accounts. One approach may be to ask for the fallow funds in a context of providing funds for time assignments that will result in new grant proposals. *Please put in your \$500, and I'll provide the rest that is needed to a course release.*
- In a new IDC memorandum,
 - Base IDC allocations chiefly on percentages, rather than specifying dollar amounts.
 - Structure distributions so as to award larger amounts to PIs who bring in larger IDC amounts.
 - Set one or more threshold levels for distribution to PIs: hold small amounts centrally, where they can be cumulated and put to work.

**✓ Envisioned Goals: Recommended Actions that
May Be a Year or More Away.**

Findings. We reference once again Recommendation #14 above, where we offer a vision of a modernized, more-integrated suite of pre and post services. A full implementation of that vision may await the immediate prospect, or the present reality, of IDC distributions that are more robust, larger, than CSUDH presently experiences – and that are reliable and sustained. A number of actions recommended above, including early additions to the staffs of both the pre and the post-award offices, should be provided even before the arrival of larger and sustained IDCs. We should prime the pump with financial sources that may include recurrent one-time allocations.

When the time is right, these actions will be in order.

26. **Recommendation. *Build Out Pre and Post-Award Staffs:*** Appendices M and N show the – modest – aspirations that we commend for bolstering these staffs. They are modest inasmuch as they will only bring CSUDH up to standards that we see in some best or preferred practices literature, and that we have seen implemented at sister CSU campuses of our size.

We recognize that the expected source of funding for these normal-sized staffs is IDC return to the campus. We encourage the President and / or the Foundation Board to consider adding staff on a “pump priming” basis even ahead of the actual return to campus of increased IDCs, on a prudent basis in years ahead.

- Note that the Task Force does not explicitly include here, as distinct recommendations, the adoption of a “hybrid” administrative organization, co-location of pre and post-award staff, or cross-training. Instead, these ideas are referenced above, in Recommendation # 16. We look forward to further engagement of these ideas in that expert / consultant review.



Appendix A

Charter / Charge of the Task Force



California State University
Dominguez Hills

OFFICE OF THE PRESIDENT
1000 East Victoria Street • Carson, CA 90747
(310) 243-3301 • Fax (310) 243-3858

MEMORANDUM

DATE: August 18, 2015

TO: Keith Boyum (*Chair*) Dorota Huizinga
Mohsen Beheshti Terry McGlynn
Bill Chang Jerry Moore
Kamal Hamdan Paz Oliverrez
Rod Hay Russel Statham
Jim Hill Maite Zabala-Alday
Faculty members (2) - to be appointed by Senate

FROM: Willie J. Hagan, Ph.D. 
President

SUBJECT: CSUDH Research Enterprise Pre & Post Award Services Task Force

Effectiveness of pre and post awards operations supporting faculty and staff research, external contracts and grants is an important objective identified in our university strategic plan. Given the importance of this area and in consideration of the cross divisional and cross disciplinary nature of these operations and the faculty, staff and other research and grant activity they support, I am establishing an ad hoc task force to review existing practices and recommend enhancements.

Keith Boyum, Special Assistant to the President, will serve as task force chair and I am writing to invite each of you to serve on the task force if you are willing and able.

The Charge of the Task Force is to:

- Thoroughly examine how we currently manage our pre & post award processes
- Look at best practices nationally in terms of policy, practices, organizational structure, staffing, funding.
- Recommend steps to enhance our effectiveness and efficiency, stimulate additional faculty interest and outcomes in securing external grants and contracts and generating additional and sustainable increased revenue for the university.

Keith will convene an initial meeting of the taskforce in September. December 14, 2015 has been established as the deadline for the committee to complete its work and submit its report. Please contact Susan Sanders in my office by Friday, August 21 at ext., 3321 or via ssanders@csudh.edu to confirm whether or not you can participate on the task force.

Thank you in advance for considering this request.

Appendix B.

Information Reviewed by the CSUDH Research Enterprise Pre & Post Award Services Task Force

	Date	Item	Comment
1	9/22/15	CSUDH Grant Activity and Research Support	Power Point from Dorota Huizinga included trends over time, and some information from sister CSU campuses of about our size: Appendix C.
2		Initial Draft, Proposed Presidential Statement in Support of Research at the University	Draft by Jerry Moore: Appendix E.
3		Student Affairs divisional engagement in the grant-seeking process	Memo from Paz Oliverrez: Appendix Q.
4	9/29/15	<i>Understanding Faculty and Institutional Capacity in Grant-Seeking Activities at a Predominantly Undergraduate Institution.</i>	Paper by Katy Pinto based on Spring 2015 interviews with faculty: See Appendix P.
5		Charting the Post-Award Process at CSUDH	Power Point from Russel Statham: See Appendix J.
6		Memorandum of Agreement, June 2010: CSUDH Indirect Cost Distribution Policy	Currently in-place policy on IDC distributions at the university: Appendix S.
7	10/06/15	Cost Allocation Study for the CSUDH Foundation staff	Analysis provided by Russel Statham.
8		Indirect Cost Distribution Formulae at Sister CSU Campuses	Information provided by Rod Hay from a 2007 report to system science deans
9	10/15/15	Deficits in staffing in post award office	Reports of staffing in light of professional standards by Russel Statham: Appendix K.
10		Deficits in staffing in pre award offices	Reports of staffing in light of professional standards by Dorota Huizinga.
11		Graphic Representation of Pre-Award Functions and Needs for Services	See Appendix L. Chart developed by Dorota Huizinga.
12	10/22/15	Karishma Furtado and Jeff Durkin, Research Associates, and Aashna Kircher, Research Manager, <i>Organizing and Administering Pre- and Post-Award Services: Custom Research Brief</i> . Washington: The Education Advisory Board, June 17, 2011.	
13		Luke Maher, Research Associate, and Lisa Geraci, Research Manager, University Leadership Council, <i>Management of Research Awards from Private Sponsors: Custom Research Brief</i> . Washington: The Education Advisory Board, 2011.	
14		Lauren Edmonds, Research Associate, and Priiya Kumar, Research Manager, The University Business Executive Roundtable Custom Research Brief, <i>Increasing Efficiency in Research Contracts and Grants Processes</i> . Washington: The Education Advisory Board, July 2012.	
		Education Advisory Board studies of recom-	Power Point from Keith Boyum:

15		mended / preferred practices in organizing pre and post award offices	Appendix G.
16	10/22/15	Reviewing Pinto's recommendations in light of preferred practices reports	Power Point from Keith Boyum: Appendix O.
17	10/29/15	Comparisons of administrative organization for research functions at CSU East Bay, CSU San Bernardino, Humboldt State, and CSUDH	Side-by-side comparisons charted by Keith Boyum on the basis of Boyum / Huizinga interviews with sister campus research administrators: Appendix H.
18			
19			
20			
21	11/5/15	Cost estimates associated with bringing pre-award staffing up to standard	Information from Dorota Huizinga: Appendix N.
22		Cost estimates associated with bringing post-award staffing up to standard	Information from Russel Statham: Appendix M.
23	11/17/15	Division of Advancement Interests in Grant Administration	Information from Maite Zabala-Alday: Appendix R.
24		Barriers and Motivators to Faculty Grant Writing	Information from Dorota Huizinga: Appendix F.

Appendix C

CSUDH Grant Activity and Research Support

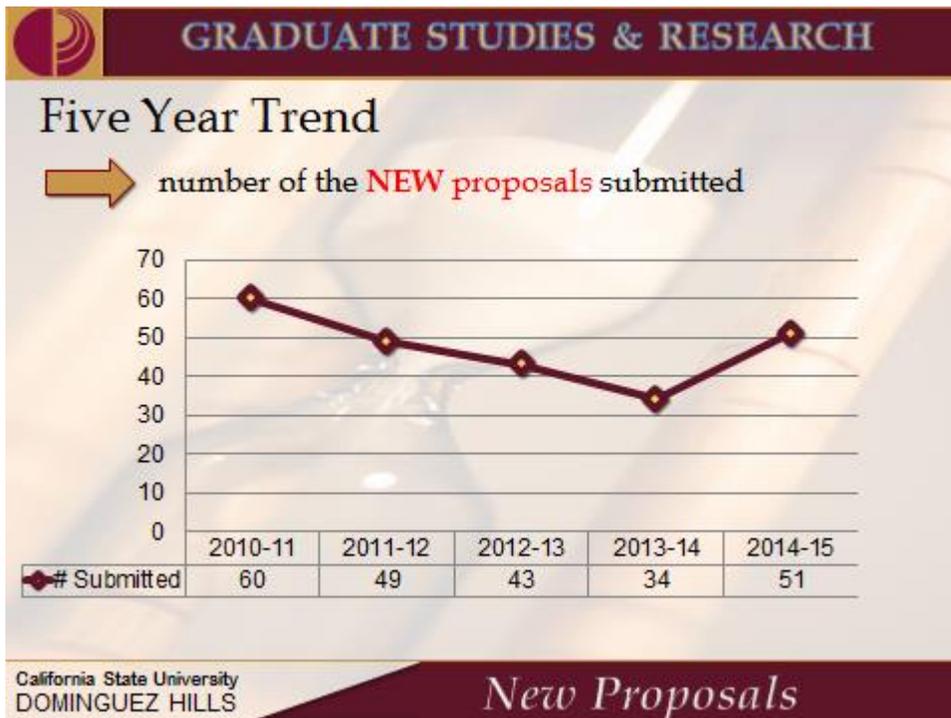
 GRADUATE STUDIES & RESEARCH

**Grant Activity
and
Research Support**

Dorota Huizinga

9.22.2015

California State University
DOMINGUEZ HILLS





GRADUATE STUDIES & RESEARCH

Five Year Trend



amount of the **NEW dollars** requested (for 1st year only)



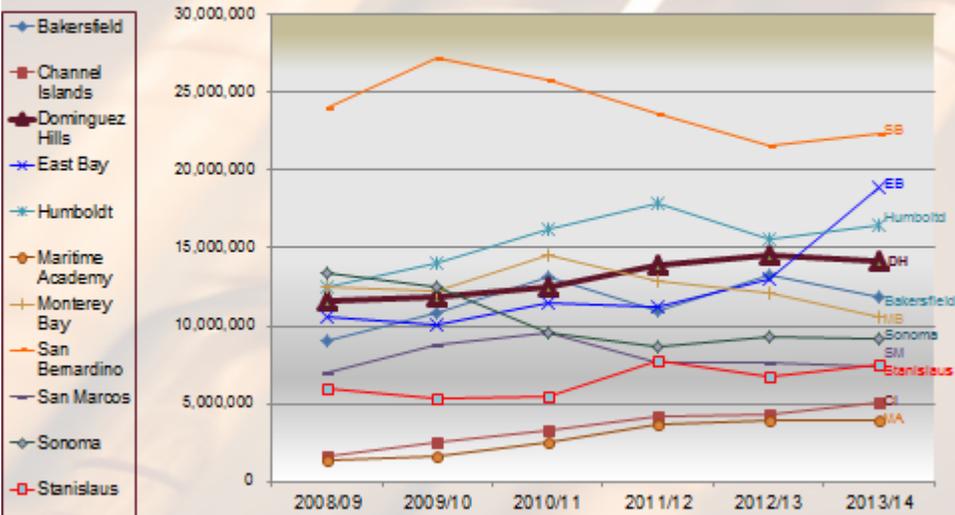
California State University
DOMINGUEZ HILLS

New Dollars Requested



GRADUATE STUDIES & RESEARCH

Annual Research & Sponsored Projects Expenditures



California State University
DOMINGUEZ HILLS

*CSU Comparison – Small Campuses
(< 400 TT Faculty)*



GRADUATE STUDIES & RESEARCH

2013/14 R&SP Expenditures	San Diego	108,359,000
	San Jose	43,804,000
	Fresno	32,740,000
	Sacramento	31,822,000
	Northridge	31,379,000
	San Francisco	29,393,000
	Long Beach	29,140,000
	Chico	27,895,000
	Los Angeles	25,268,000
	San Bernardino	22,407,000
	Fullerton	22,330,000
	San Luis Obispo	18,954,000
	East Bay	18,842,000
	Humboldt	16,475,000
	Dominguez Hills	14,227,000
	Pomona	12,304,000
	Bakersfield	11,817,000
	Monterey Bay	10,520,000
	Sonoma	9,221,000
	Stanislaus	7,529,000
	San Marcos	7,442,000
	Channel Islands	5,065,000
	Maritime Academy	3,971,000

California State University
DOMINGUEZ HILLS

CSU Comparison – 23 Campuses

- 
- ## GRADUATE STUDIES & RESEARCH
- INCREASED INTEREST IN R&SP BY THE CSU CO:
 - Surveys of student/faculty research
 - Reports of grant revenue
 - PR Pieces featuring CSU faculty and students
 - Software Licenses (system-wide price negotiations)
 - Research Compliance (COI and Export Control)
- California State University
DOMINGUEZ HILLS



GRADUATE STUDIES & RESEARCH

PRE-AWARD



1. Generate Idea



2. Find Funding

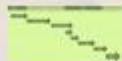


3. Develop Your Proposal



4. Submit Your Proposal

POST-AWARD



5. Manage Your Award

6. Close Out Project

7. Share Your Research

California State University
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GRADUATE STUDIES & RESEARCH

CSUDH Research and Sponsored Programs Support Programs:

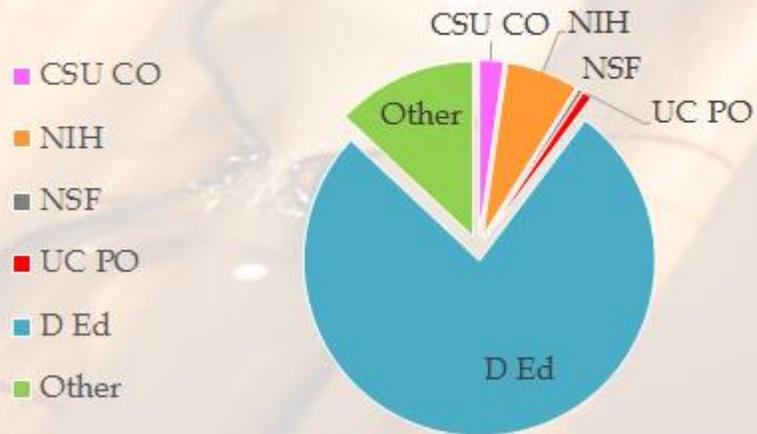
- Faculty Startup Fund Program
- Intramural Grant Program (CSUDH and CO RSCA grants)
- Grant Writing Academy ("Grants for My Research")
- Funding Opportunity Identification
- Funding Opportunity Review
- Grant Writers/Editors
- Grant Reviewers
- Grant Submission
- Recognition Events (RSCA Recognition)
- Student/Faculty Research (Office of URCSA)
- Student Research Day

California State University
DOMINGUEZ HILLS



GRADUATE STUDIES & RESEARCH

Where did the \$17.6 of the CSUDH grant awards come from?



California State University
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CSUDH 2014/15 Grant Awards By Funder

Appendix D

Pre-Award Productivity in CSU Campus Comparison

CSU Campus	Grant Income*	Comment	Pre Award FTE	Productivity (Grant Income /FTE)
Dominguez Hills	12,879,200		1	12,879,200
Bakersfield (peer)	11,464,400	Pre/post integrated (6)	3	3,821,467
East Bay (peer)	11,290,600	Pre/post integrated (8)	4	2,822,650
Monterey Bay (peer)	12,862,400		6	2,143,733
San Bernardino(peer)	24,457,200		4	4,076,200
	AVERAGE Productivity of Peer Institutions			5,148,650
	<ul style="list-style-type: none"> • 5 year average ending 2013/14 			

Appendix E

Draft Statement on the Role and Importance of Research

Since its origins in the 11th century, scholarship, research, and creative activities have been at the core of the university. CSUDH is no exception. In addition to other fundamental aspects of the CSUDH mission—for example, our commitment to student success and our engagement with social justice—scholarship, research and creative activities are at the core of who we are. CSUDH faculty are a community of teacher-scholars, and their engagement with their academic and professional fields is essential if we are to create an outstanding university. Engaged faculty teach engaging courses. This benefits CSUDH students and adds to our institution's reputation and prestige. We have acknowledged the high impact practice of involving students in research and scholarship, but this equally requires faculty who are active in their own scholarly, creative, and professional fields. Balancing the demands of teaching, service and scholarship creates challenges for CSUDH faculty, but as president of CSUDH I am fully committed to making support of scholarship, research, and creative activities a central goal of my administration.

Appendix F

Barriers and Motivators to Faculty Grant Writing

- Lack of sufficient research support infrastructure is a significant barrier to faculty seeking research funding (Cole, 2007; Onyefulu & Ogunrinade, 2005; Porter, 2004; Walden & Bryan, 2010; Wimsatt et al., 2009;)
- CSUDH like many other PUI schools, does not have robust departmental administrative support structure. The research support infrastructure needs to fill this gap so that faculty can spend time on research instead of working out the next administrative step.
- Students who participate in meaningful research at the undergraduate level are more likely to complete their degree and pursue careers in science (Hathaway, et al., 2002; Russell et al., 2007).
- Impediments to grant writing:
 - the hassle-factor of proposal development
 - subsequent management of grant award
 - the lack of protected time for writing and research
 - concerns over IDC allocation
 - and no recognition of sponsored research activity in promotion and tenure decisions
- Motivators for grant writing include:
 - individual factors such as:
 - the ability to explore new ideas or
 - pursue meaningful research
 - institutional tangible factors such as:
 - adequate administrative support
 - protected time for research and writing
 - IDC allocation that rewards efforts
 - less tangible factors such as:
 - community
 - collegiality
 - knowledge that together create a “culture of research.”
- IDC allocations:
 - IDC provide funds for SUSTAINABILITY of research and research development programs by closing the loop between the original investment/effort and returns/rewards.

Not closing of this loop will continue to cause concerns about IDC allocation and be a major barrier to faculty seeking grants.

- Our goal should be to *give faculty time, knowledge, and access to experts so they are empowered to develop high quality research proposals.*

References:

Cole S. S. (2007). Research administration as a living system. *The Journal of Research Administration*, XXXVIII (2), 14-27.

Hathaway, R. S., Nagda, B. R. A., & Gregerman, S. R. (2002). The relationship of undergraduate research participation to graduate and professional education pursuit: An empirical study. *Journal of College Student Development*, 43, (5), 1-18.

Onyefulu, C. C., & Ogunrinade, A. F. (2005). Kick-starting research in newly emergent universities: Why faculty do not apply for research development “seed” funding at the University of Technology, Jamaica. *The Journal of Research Administration*, XXXVI, (2), 14-22.

Porter, R. (2004). Off the launching pad: Stimulating proposal development by junior faculty. *The Journal of Research Administration*, XXXV (1), 6-11.

Russell, S. H., Hancock, M. P., & McCullough, J. (2007). Benefits of undergraduate research experiences. *Science*, 316, 548-549.

Walden, P. R. & Bryan, V. C. (2010). Tenured and non-tenured college of education faculty motivators and barriers in grant writing: A public university in the south. *The Journal of Research Administration*, XLI, (3), 85-98.

Wimsatt, L., Trice, A., & Langley, D. (2009). Faculty perspectives on academic work and administrative burden: Implications for the design of effective support services. *The Journal of Research Administration*, XL (1), 71-88.

Appendix G

Review of Recommended Practices Reports



Reviewing Recommended Practices Reports

Boyum

October 15, 2015

A 2011 Research Brief

 <p>EDUCATION ADVISORY BOARD</p>	<p>UNIVERSITY LEADERSHIP COUNCIL</p> <p>Organizing and Administering Pre- and Post-Award Services</p> <p><i>Custom Research Brief • June 17th, 2011</i></p>
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Cautions

- The seven universities surveyed are all Research Universities in the Carnegie classifications.
 - Three have 'very high' research activity.
 - Four have 'high' research activity.
- One is located in the midwest. Six are located in the mountain west.
- Enrollments at four are much higher than ours.
 - **In short, these models may be quite unlike CSUDH.**



Quick Recap

- Most institutions maintain a **hybrid**, or an **integrated**, Office of Sponsored Projects (OSP).
 - **Note:** offices may be **Separate:** pre- and post-award serves are not co-located, and report to different administrative leaders.
 - **Integrated:** Pre- and post-award services are combined, co-located, and provided by generalists; the office reports to the VP Research.
 - **Hybrid:** co-located and report to the VP Research; but staff specialize on one side (pre or post).



III. ORGANIZING AN OFFICE OF SPONSORED PROGRAMS

Overview: Models of Providing Pre- and Post-Award Services

Contacts describe the following methods of organizing their offices of sponsored programs.



Separate Pre- and Post-Award Processes

Advantages:

- Different reporting lines align with distinct duties managed by each side.
- Staff can specialize and become knowledgeable in niche areas.

Disadvantages:

- Communication between pre-award, and post-award, and the PI, is inefficient.
- Staff on either side may have difficulty gaining perspective on the whole process

Separate Pre- and Post-Award Processes

Advantages:

- *Boyum notes:* Statham described possible advantages of using a non-state foundation:
 - **Costs** may be lower: no employee bargaining unit; benefits, including retiree benefits, may be more easily managed.
 - **Work rules** may be less a hindrance.
 - **Most employees are at-will:** right-sizing the work force can be easier.

Separate Pre- and Post-Award Processes

Recommended for: Small offices.

Hybrid Pre- and Post-Award Offices

Description:

- Processes are located under the same unit, but staff remain either pre- or post-award specialists.

Hybrid Pre- and Post-Award Offices

Advantages:

- Increased convenience for PIs.
- Efficient communication among all parties.
- Staff can specialize, become knowledgeable.

Disadvantages:

- Must deal w/ existing perceptions on the nature, duties of roles on each side.
- May require more leadership staffing (e.g., Associate Directors of pre- and of post-award).

Hybrid Pre- and Post-Award Offices

- *Boyum notes: Could a hybrid office retain the advantages of using a non-state foundation, as described by Statham?*
 - **Costs** may be lower: no employee bargaining unit; benefits, including retiree benefits, may be more easily managed.
 - **Work rules** may be less a hindrance.
 - **Most employees are at-will**: right-sizing the work force can be easier.

Hybrid Pre- and Post-Award Offices

Recommended for:

- Any size office;
- Growing offices;
- Offices with the resources to develop and implement a shared filing system

Integrated Pre- and Post-Award Offices

Advantages:

- Increased convenience for PIs.
- Shared clerical pool may reduce costs.
- Flexibility to adjust to high work loads on the pre- or on the post-award side.
- Staff are less likely to push problems off to someone else since they manage the project throughout the process.
- Project close-out is more streamlined because the same person has managed the whole process.

Integrated Pre- and Post-Award Offices

Disadvantages:

- Training is extensive.
- Large volume of information to master: contract- and finance-related subject matter can be particularly difficult.
- The time-sensitive pre-award work may overshadow post-award work.

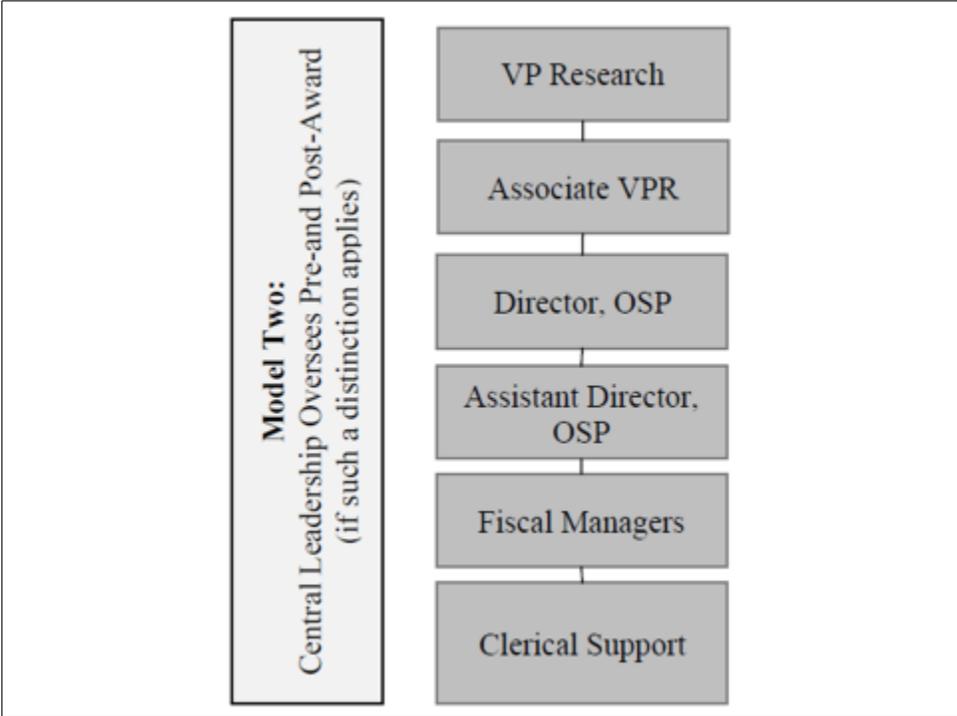
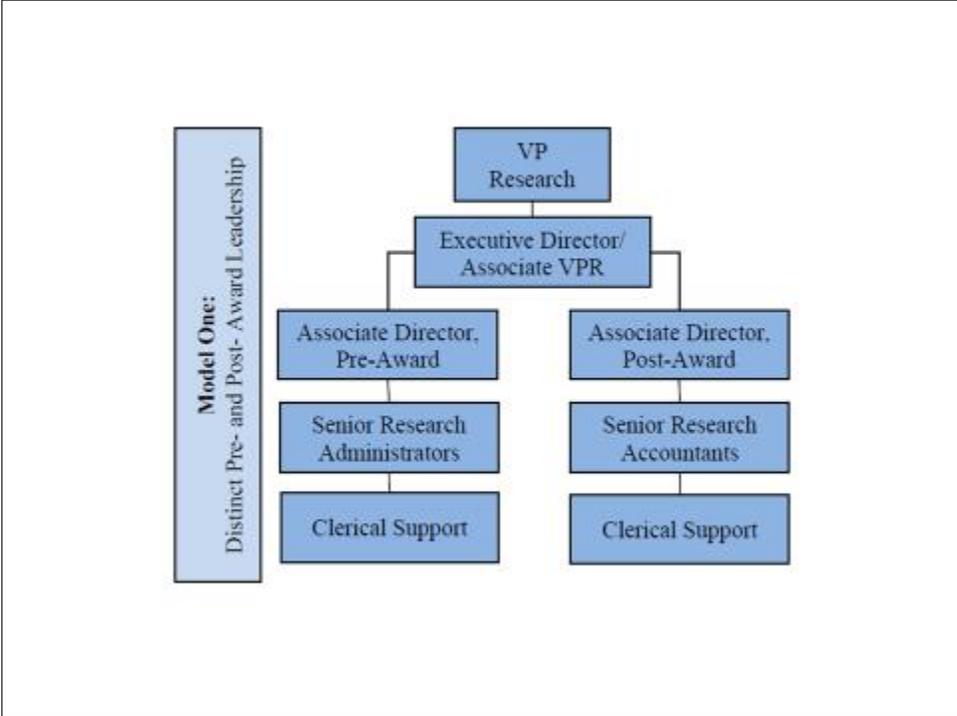
Integrated Pre- and Post-Award Offices

Recommended For:

- Any size office;
- Established offices;
- Offices that are already looking for opportunities to integrate services;
- Offices with resources to develop and implement a shared filing system.

Models of Organizing Combined Pre- and Post-Award Offices

- Organizational structures in place at contact institutions fall into the two general categories below.
- Sample titles represent the functions of positions.
- Hybrid offices tend to use distinct titles for pre- and post-award personnel; contacts explain that the descriptive titles help individuals identify the appropriate point of contact within the office.
- However, same or similar titles can help create a sense of cohesion across the office when merging.



This model is in place at **University B** and the **University F**; the former maintains a fully integrated office staffed by generalists. University B also assigns generalists specific secondary responsibilities. University F's OSP is hybrid but increasing integration. Initially University F's office was organized according to the above model, with associate directors for pre- and post-award administration. Contacts found that this model encouraged tight-knit pre- and post-award groups that undermined the goal of a cohesive office that operates as a whole. As a result, the associate director of post-award was removed; all staff now report to the same individual. Contacts observe that while this model may seem most appropriate for completely merged offices, it can be an effective way of organizing specialist staff as long as leadership is familiar with both pre- and post-award administration processes.

A 2012 Custom Research Brief

UNIVERSITY BUSINESS EXECUTIVE ROUNDTABLE



Increasing Efficiency in Research Contracts and Grants Processes

Research Questions

1. How do administrators divide responsibilities of contracts and grants management among the [relevant offices]?
2. What are the job titles and responsibilities of staff in the pre- and post-award processes?
3. What training do these staff receive?

• • •

Research Questions, continued

4. How do staff in offices support researchers with respect to deadlines, compliance with regulations, and financial reporting? What types of additional support have researchers requested?
5. How do research administrators collaborate to support researchers? When multiple offices manage different components of grants administration, how do administrators prevent overlaps or gaps in services?

• • •

Key Observations

- A. PI's develop their proposals at the college or department level.
- B. Research office staff review proposals for compliance and budget accuracy; and submit proposals to sponsoring agency.
- C. Research staff and grants accounting staff work together to address any questions, such as what to do with unspent funds.

Key Observations, continued

- D. Monthly meetings enable cooperation among research office staff, grants accounting staff, and department administrators.
- E. An information tech infrastructure that integrates pre- and post-award functions simplifies the research contracts and grants process.
- F. Research staff primarily receive training at annual conferences.

Strategies to Increase Efficiency

I. Geographic Proximity and Balanced Workloads Improve Coordination

- 1) Where staff from pre-award and post-award services work in the same physical office, collaboration occurs naturally and staff move between workspaces to discuss proposals and awards.
- 2) Pre-award managers can meet weekly to review the total workload and balance the workload among staff.

II. Staff Specialize in Academic Departments or Scholarly Fields

- 1) Where central research staff serve a limited number of departments, they can develop familiarity with the fields.

III. Electronic Systems Simplify Proposal and Award Management

- 1) An information technology system for grants management can streamline the process, keeping proposals organized, including where proposals travel among multiple offices.
- 2) At *University D*, a first objective is to automate the grants conflict of interest process.

IV. Templates Can Simplify Proposal Development for PI's

- 1) Research staff can create templates for internal proposal preparation, for federal applications, and for compliance paperwork. A research office web site can house the templates.



Appendix H

Summary Chart: The Administrative Organization of Research & Sponsored Programs at CSUDH and at Three Other CSU Campuses

Interview Results, October 2015 - Boyum and Huizinga

- Please see overleaf.

CSU Campus				
East Bay Interim AVP Research & Prof. Development <i>Stephanie Couch</i>	San Bernardino Assoc. Provost for Research <i>Jeffrey Thompson</i>	Humboldt Dean for Research <i>Rhea Williamson</i>	CSUDH Dean of Graduate Studies and Research <i>Dorota Huizinga</i>	
<p>Question:</p> <p>1. At your university, how many FTE do you have managing both pre and post award processes? We would like the total number, both pre- and post.</p>	<p>Total = 11.25 Pre-award: 3.0 Post-award: 3.5 [2 FT + 3 persons @ 0.5] Compliance: 3.0 FT Office Manager: 1.0 FT AVP Research: 0.75 FT Note: Univ. Advancement has a position to write grants – does corporate and foundation pre-award. She is part of Advancement team; attends Advancement meetings.</p>	<p>Total = 12.5 Pre-award: 5.0 Post-award: 6.0 Compliance 1.0 FT Assoc. Provost for Research & Dean of Graduate Studies: 0.5 FT (until a year ago, was 1.0 FT) Note new office of student research: both undergrad and grad research. Focus on, e.g., McNair funding; Title 5 post-baccalaureate funding.</p>	<p>Total of 13.5 Pre-Award: 2.0 Post-award: 3.0 Plus: Compliance = 2.0 Dean for research = 1.0 Executive Director, Sponsored programs = 1.0 Admin. Assistant/ IRB = 1.0 Office Manager = 1.0 FT Front office = 2.5</p>	<p>Total = 4.5 Pre-award: 1.0 Post-award: 2.0 Compliance: 1.0. FT Dean of Graduate Studies and Research: 0.5 FT</p>

Question:	East Bay	San Bernardino	Humboldt	CSUDH
<p>2. How are they funded? Are they funded via indirect cost recoveries or in some other way?</p>	<p>All are state employees. Advancement Division: grant strategy Officer = 1.0 All others (= 10.25), while state employees, are funded via IDC reimbursement from Foundation to University.</p>	<p>All are state employees. Pre-award are funded via state allocation. Post-award, while state employees, have their salaries reimbursed via IDC.</p>	<p>11 out of 13.5 are state employees. 2.5 are temporary employees, foundation employees. Research office reimburses university for HR and accounting services, from IDC.</p>	<p>Pre-award, compliance and Dean of FS&R are funded via state allocation. Post-award staff members are funded via IDCs.</p>
<p>3. Are post-award staff members, foundation employees, or are they state employees at your university? What do you think the benefits and the drawbacks of that arrangement may be?</p>	<p>All are state. Benefit costs are higher. Had to negotiate a side letter with the union – when the grant goes away, some employees then go away. Couch thinks this way is far better for Pls. One set of rules and forms, not two (or three, Development for gifts). So, simplified administration. Common financial system allows some data mining – employee labor distribution reports.</p> <p>Research office staff meet with HR people, Provost budget person, and others: grants management issues and problems are put on the table and resolved at weekly meetings.</p>	<p>Since 2010, all are state employees, but reimbursed from IDC.</p> <p>HR in the SB office also handles those functions for ASI, Children's Center, Student Union, Bookstore. But 75 – 95% of activity is grants.</p> <p>A benefit of putting this on state side: eliminates the post-retirement costs that would otherwise accrue on the foundation side. Did not affect employees in terms of their retirement: foundation is a PERS agency. It's really about post-retirement medical.</p> <p>New grant employees thus do not accrue an entitlement to post-retirement health benefits.</p> <p>Stateside are permanent employees. But grant employees are hired by foundation, including students. Includes faculty who are hired for winter, summer, <u>overload</u>. But that will change for winter, with the availability of new additional employment classification.</p>	<p>Key reason for state side: if auxiliary employee compares self with state, they look at benefits; their ability to achieve job security; etc. There is a tendency to come in to auxiliary and then wants to move to state side. You lose them.</p> <p>Moved everybody in 2011 to the state side.</p>	<p>All Foundation employees.</p>

Question:	East Bay	San Bernardino	Humboldt	CSUDH
4. Can you share with us your organization chart for both pre and post?	See attached.	See attached.	See attached.	See attached.
5. What is your experience with separate pre- and post-award offices/versus hybrid pre- and post-award/versus integrated offices? Has your campus recently changed from one arrangement to another?	<p>East Bay went from separate to hybrid 18 months ago.</p> <p>The change-over was very hard – position descriptions had to be written for foundation permanent employees, and classifications identified for grant employees (100+). All had to be done within two weeks, because agreement with the union was reached on 6/15 and implementation was set for 7/1.</p>	<p>In 2010 went from separate to hybrid.</p> <p>Pre-award used to report to Associate Provost of Research, and post award to exec director of foundation.</p> <p>SB had available space to really reorganize.</p> <p>Would recommend hybrid.</p>	<p>Humboldt is most nearly a hybrid. Pre- and post-staff are co-located in the same office. They have specialists but with cross-training.</p> <p>Before December 2010, they were separate; but there was really no pre-award function.</p> <p>PI's love one-stop shopping. They are assigned a pre-award and a post-award staff helper. Coming to one spot.</p> <p>Humboldt has many metrics for both pre and post award.</p> <p>They have "desk procedures." Their meetings get pre-award people to listen to post-award people.</p> <p>ACCESS data base talks with the IRB data base.</p> <p>When something is transferred from pre to post award, there is a notes file. Such as IRB required; training required. So the post award person can track that.</p>	<p>CSUDH campus has separate pre-award and post-award offices.</p>



Question:	East Bay	San Bernardino	Humboldt	CSUDH
<p>6. <i>What is your experience with separate offices? Is the EAB brief statement of advantages and disadvantage about right ...?</i></p>	<p>Hybrid is better.</p>	<p>Hybrid is better.</p>	<p>Hybrid is better. Dean of Research at Humboldt disagrees with EAB arguments for certain advantages that may accompany separate.</p>	<p>According to EAB, the primary advantage of the separate model is the fact that staff can specialize and become knowledgeable in niche areas. However, the hybrid model has the same benefits of the specialized staff without the disadvantages of the separate model such as: lack of communication between pre-award and post-award, PI is inefficient, difficulty gaining perspective on the whole process, etc.</p>
<p>7. <i>What is your experience with hybrid offices? Is this brief statement of advantages and disadvantage about right, in your experience? Do you have a comment about more leadership staffing in the hybrid model?</i></p>	<p>A possible disadvantage: Some people perceive it was easier on the non-state side to hire people and to pay faculty research rates that differ from their regular contracted amounts. Like paying stipends. IRS problems; more cautious about that on the university side.</p>	<p>The missing piece is auxiliary HR and accounting.</p>	<p>They have specialists but with cross-training.</p>	

Question:	East Bay	San Bernardino	Humboldt	CSUDH
<p>8. <i>What is your experience with integrated offices? Is this brief statement of advantages and disadvantage about right, in your experience? ...</i></p>	<p>In a small shop like East Bay, need specialized staff – but staff have to know the other areas. Seems to call for hybrid.</p>	<p>SB has not done integrated. San Francisco is integrated. The advantage is cradle to grave – nice for faculty.</p> <p>SB ensures that the same grant administrator works with a particular faculty person for second, third, subsequent grants.</p>	<p>No particular experience.</p> <p>San Francisco is integrated.</p>	<p>San Francisco is integrated. The advantage is cradle to grave – nice for faculty.</p>
<p>9. <i>What is your experience with geographic proximity? How important is it, in your experience? Would you encourage us to consider this for our processes? ...</i></p>	<p>East Bay is co-located. Works very well – many advantages.</p>	<p>All but one in an Academic Research Building. One staff person is next door in another building.</p> <p>Made a huge improvement in communications between pre and post award, and myself.</p> <p>Their small building is located next to auxiliary.</p>	<p>They are co-located. Co-location facilitates, makes easier, weekly office staff meetings, and weekly pre-award meetings.</p> <p>They use several metrics to balance workloads among pre-award staff, and also among post-award staff. For balancing post-award workload, the dollar amount, and number of subcontracts, are important metrics.</p>	<p>I think that close geographic proximity of both offices is very important.</p>

Question:	East Bay	San Bernardino	Humboldt	CSUDH
<p>10. What was your university's total grant income for the year 2014/15? Has it grown in comparison to prior years? What do you think caused growth (or lack of growth, or decline)? Do you think that the way you <u>adminis-</u> <u>tratively organize</u> <u>is important in</u> <u>explaining growth or</u> <u>decline?</u></p>	<p>East Bay's hybrid model has helped to support, encourage proposals and funded proposals.</p> <p>In a focus group, the PI's said this is heading in the right direction. Send Couch more support.</p> <p>See additional Information (separate sheets)</p>	<p>Strong preliminary numbers for 2014/15. \$31M this year. Largest in history.</p> <p>See additional Information (separate sheets)</p>	<p>The only way to grow research is to have faculty do it. So making it all convenient for faculty is a part of that. Avoid them saying that this is just not worth my time. Lose some faculty to consulting rather than doing research.</p> <p>They have a research incentives program. "I don't have enough time to develop a proposal." So she gives 3 – 4 units; chair and dean approves; competitive process; to write a proposal. Show they have had contact with agency; the agency does this type of funding. Backup information.</p> <p>See additional Information (separate sheets)</p>	<p>See additional Information (separate sheets)</p>
<p>11. How many proposals did your university submit in the year 2014 / 2015? Has that number grown, declined, or stayed the same when comparing to recent years? Do you think that the way you <u>administratively</u> <u>organize ... is</u> <u>important in</u> <u>explaining growth or</u> <u>decline?</u></p>	<p>See additional Information (separate sheets)</p>	<p>Note that Chancellor White and Vice Chancellor Blanchard are supportive of research. System is poised to move to a higher level. On the campus level, can raise research to a higher level.</p> <p>So he suggests: looking at SDSU, SLO: a vice president level.</p> <p>Admin structure has no real impact on volume of awards.</p> <p>See also attached.</p>	<p>See additional Information (separate sheets)</p>	<p>See additional Information (separate sheets)</p>

<p>Question:</p> <p>12. IN CONCLUSION, what advice would you have for CSUDH?</p>	<p>East Bay</p> <p>Grant administration is arcane and complicated. In crafting the job descriptions, take a detailed look at functions. Couch has a 48 page spreadsheet that tries to analyze this.</p> <p>At East Bay, they haven't fully written down office procedures, on paper. They are working on that now. Such details are time-consuming; but it's a one-time cost in setting up the office well.</p>	<p>San Bernardino</p> <p>Seek to create a center of excellence. Offer more support for research.</p> <p>Note that Chancellor White and Vice Chancellor Blanchard are supportive of research. The CSU system is poised to move to a higher level. CSU campuses can raise research to a higher level.</p> <p>His parting advice to San Bernardino: raise the position to a vice president for research, emulating San Luis Obispo or San Diego. As well: separate research (VP or AVP) from Graduate Dean: make two positions.</p>	<p>Humboldt</p> <p>Support faculty passion for research -- that includes, as much as possible, students -- and that aligns with the university's vision and strategic plan. This is an investment that if done well will result in success for faculty, for students, and for a university's reputation for research.</p>	<p>CSUDH</p>
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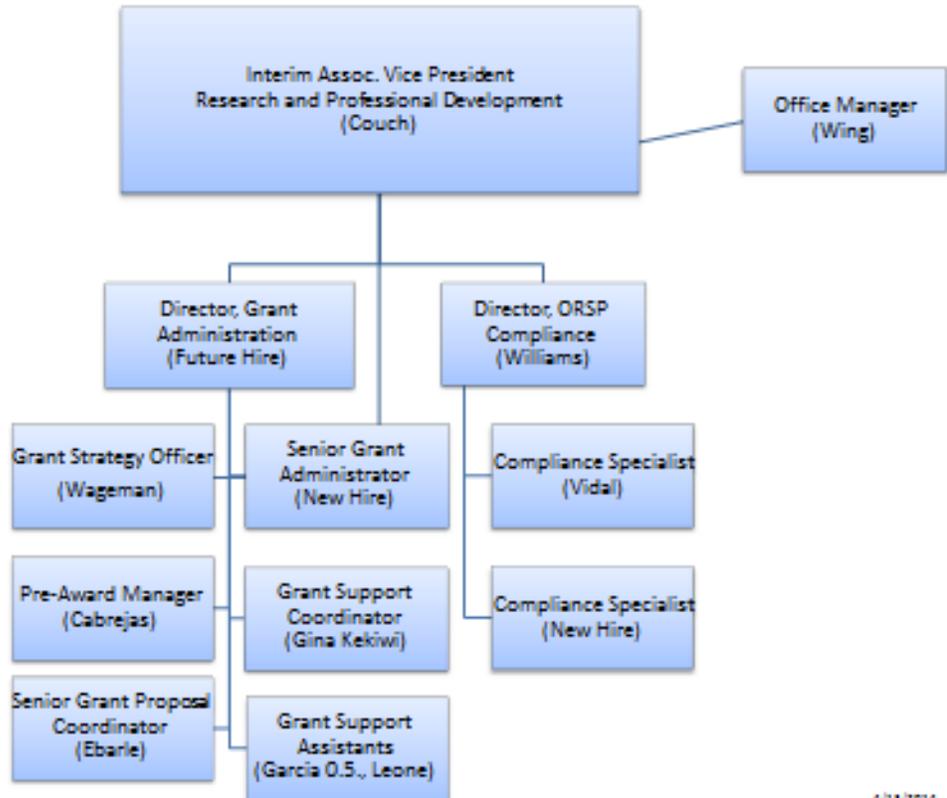
Appendix I.

Organization Charts for Research and Sponsored Programs

- **CSU East Bay**
- **Humboldt State University**
- **CSU Dominguez Hills (Pre Award)**
- **CSU Dominguez Hills (Post Award)**
- **CSU San Bernardino**

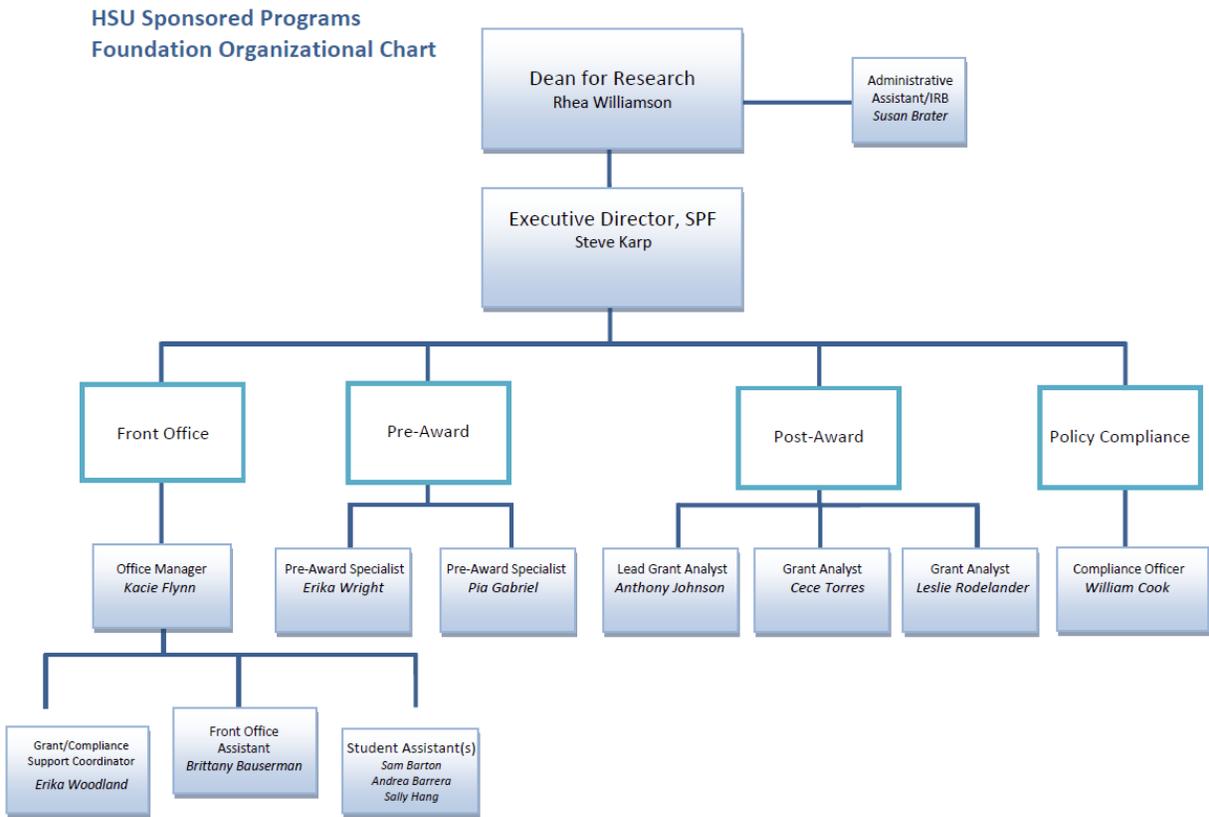
CSU East Bay Organization Chart

Office of Research and Sponsored Programs (ORSP) 2015 Organizational Chart

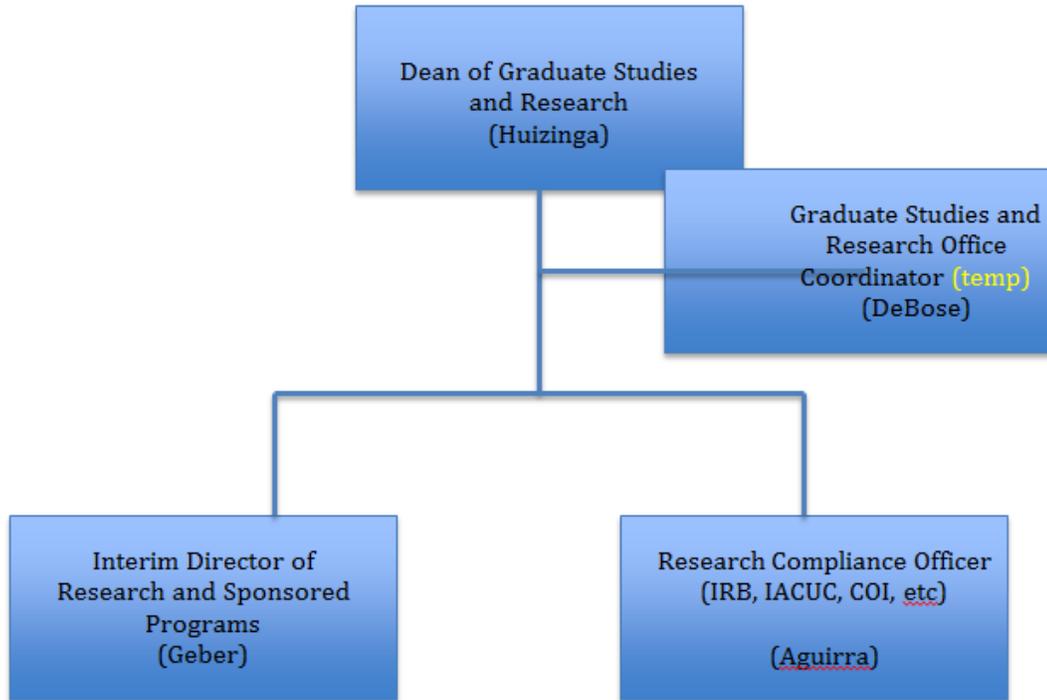


6/14/2014

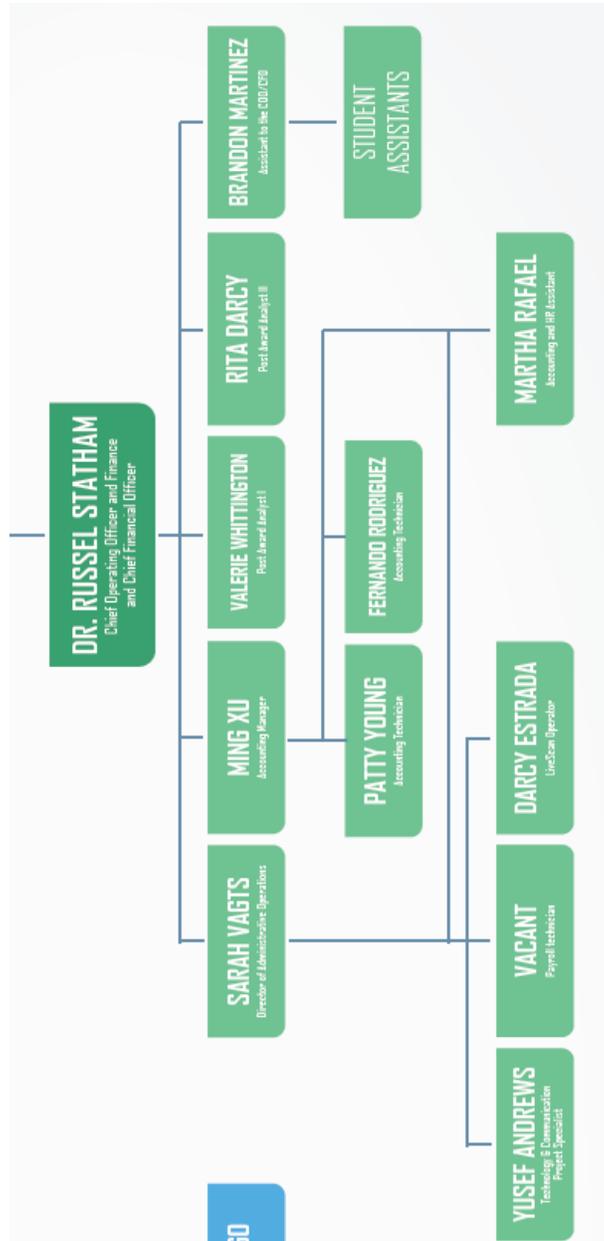
Humboldt State University Organization Chart



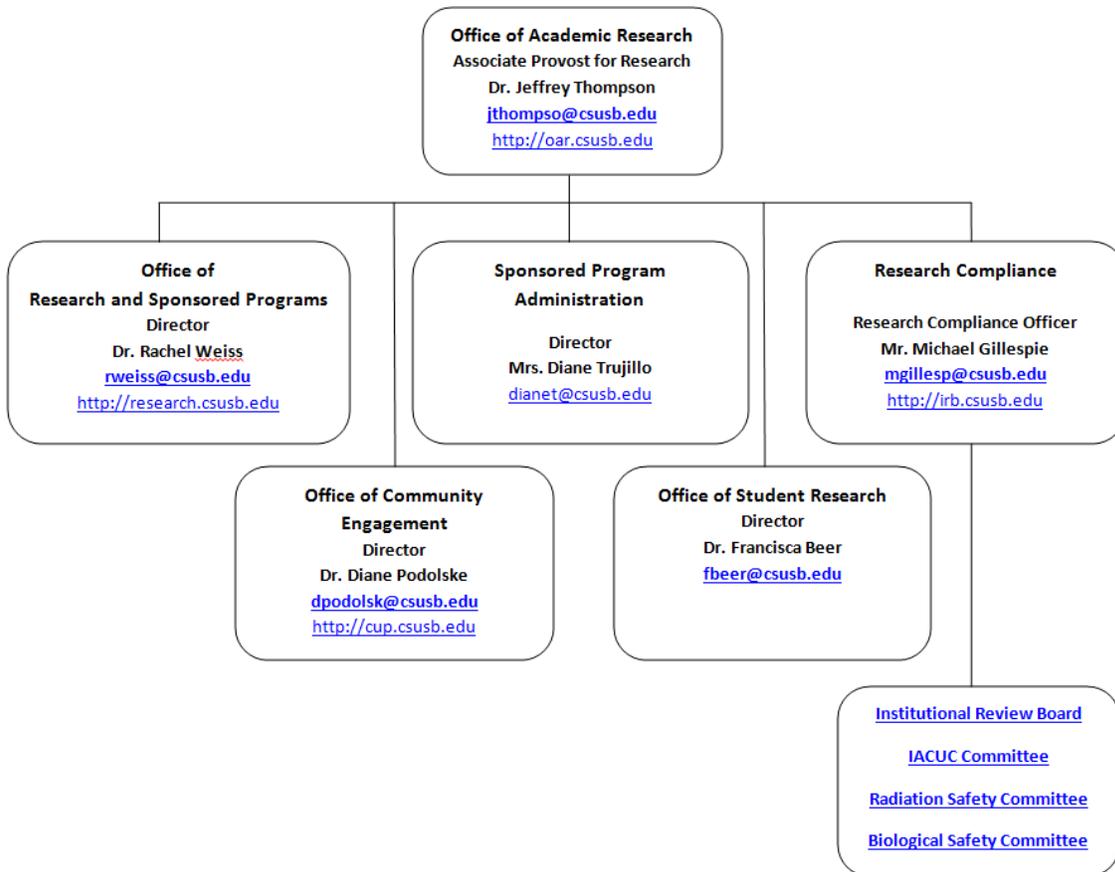
CSU Dominguez Hills Pre-Award Organization Chart



CSU Dominguez Hills Post-Award Organization Chart



CSU San Bernardino Organization Chart



Appendix J.

Post Award Administration at CSUDH

Post Award Administration

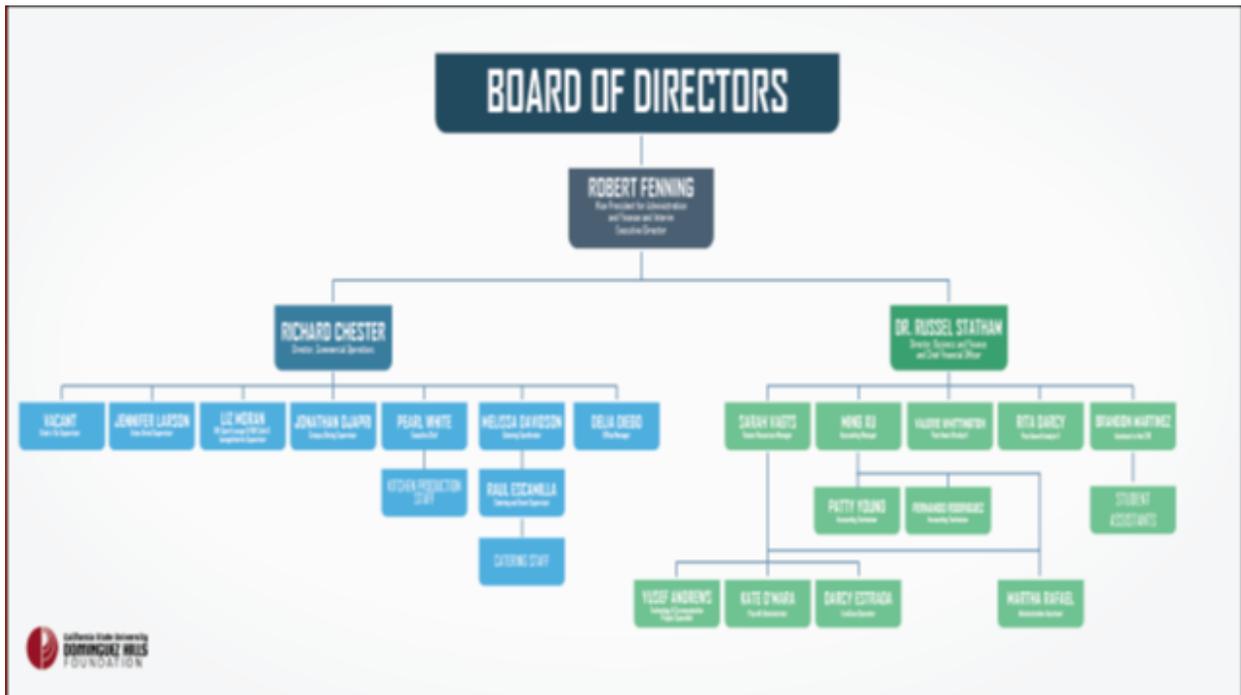
CALIFORNIA STATE UNIVERSITY, DOMINGUEZ HILLS FOUNDATION

What is the Foundation's role?

- ▶ Business Services Provider and Fiduciary Agent
- ▶ Executive Order 890 "Administration of Grants and Contracts in Support of Sponsored Programs"
- ▶ Master Agreement with University provides designation as Sponsored Programs Administrator
- ▶ Legally responsible and accountable to the sponsors of grants and contracts for use of funds provided and for the performance of sponsored programs
- ▶ Ensures compliance with University policies and procedures, Foundation policies and procedures, federal and state regulations, and funding agency regulations

Business Services We Provide:

- ▶ Accounts Payable
- ▶ Accounts Receivable
- ▶ Cash Management, Drawdowns, Letter of Credit
- ▶ Human Resources and Employment Services
- ▶ Payroll
- ▶ Contract Execution and Management
- ▶ Sponsored Programs Audit (A-133, Uniform Guidance, Others)
- ▶ Uniform Guidance Compliance
- ▶ Effort Reporting
- ▶ Expense Transfers
- ▶ Negotiation of Indirect Rate Agreement (Cognizant Agency)
- ▶ Carry Forward and No-Cost Extensions
- ▶ Pre-Award Spending
- ▶ Sub-Award Management
- ▶ Cost-Sharing
- ▶ Purchasing and Procurement
- ▶ Financial Reporting



Advantages of Foundation's Role

- ▶ Simplified Human Resources and Payroll Functions
 - ▶ Legal Restrictions, Classification, Compensation, Benefits
- ▶ Legal Flexibility
- ▶ Procurement Flexibility
- ▶ Costs Less
 - ▶ Small Staff/Benefits Cost Less
- ▶ Shields University From Liability
 - ▶ Disallowed Costs

Improvements

- ▶ Online financial system
- ▶ New electronic forms
- ▶ Online time and attendance
- ▶ Procurement cards
- ▶ Electronic reimbursements
- ▶ Revised policies and procedures and PI handbook

Funding

- ▶ Indirect Cost Recovery generates funds to reimburse the Foundation for its expenses in operating the post award function and to provide resources to the University for reinvestment into research
- ▶ Grants and contracts activities represent 68.12% of the Foundation's total operations, however it is only allocated 46.69% of the F&A costs
 - ▶ Subsidized by other Foundation operations
- ▶ Most grants and contracts do not have full IDC, with many have no IDC at all; this causes other grants to subsidize their administrative costs
- ▶ All indirect cost recovery funds in excess of the Foundation's charge of \$747,000 are returned to the University through a 1/3 split between Principal Investigator, Department, and College/School

Funding

- ▶ At June 30, there was \$534,706 in unspent IDC funds allocated back to the University
- ▶ Foundation recognizes vital role of research on campus and has voluntarily committed to an additional \$75K to Academic Affairs above the allocation process
- ▶ Committed to continually evaluating services and reducing costs where feasible; cost allocation study underway

Appendix K

CSUDH Post-Award Administrative Needs – As Per Professional Standards

Staffing Needs for Post Award Administration California State University, Dominguez Hills Foundation

The following is a summary of the staffing levels needed to administer post award activities for grants and contracts. The schedule below notes that this unit should have five dedicated employees, in addition to the business services staff that provide accounting, payroll, procurement, AP, AR, human resources, legal, and risk management services to the grants and contracts.

The below schedule identifies which positions currently exist, which would optimally exist in the future, and whether or not the positions previously existed.

Following this summary page are sample position descriptions that show the types of activities involved with each of these positions.

Position Title	Current	Future	Previous Position?
Manager, Post Award Administration		X	Yes, as Director
Post Award Analyst I	X		
Post Award Analyst II	X		
Post Award Analyst II		X	No, new position
Post Award Assistant		X	No, new position

Manager of Post Award Administration

SUMMARY

Under the direction of the Chief Financial Officer, the Manager of Post Award Administration is responsible for the management of post award grant and contract accounting activity for the California State University, Dominguez Hills Foundation.

ESSENTIAL DUTIES AND RESPONSIBILITIES

Under the direction of the Chief Financial Officer, the incumbent will be responsible for the following. Other duties may be assigned.

Daily / Weekly Responsibilities:

Management of grant and contract post award administration; ensure compliance with laws, guidelines and regulations; ensure Foundation policies and procedures are followed; responsible for contract review prior to final approval; maintain working relationship with pre-award administration regarding grants & contracts; provide customer service to project staff and grantor agencies; process journal entries; audit and approve purchase requisitions, payment authorizations and payroll time sheets; review subcontracts prepared by Post Award Analysts.

Monthly Responsibilities:

Review and monitor accounts receivable and collections; review and monitor close-out of accounts; participate in focus groups; participate in special projects, as assigned.

Quarterly Responsibilities:

Review non-cash cost sharing, surcharge invoicing and federal equipment list.

Other Responsibilities:

Coordinate with the public auditors to ensure timely completion of grant and contract audit; prepare schedule of Federal Financial Awards; prepare SF-SAC Data Collection Form; participate in developing policies and procedures; responsible for daily supervision, periodic performance reviews, training and staff development; attend meetings and conferences relating to grants and contracts; participate in training provided to project directors and staff.

SUMMARY

Under the direction of the Manager of Post Award Administration, the Post Award Analyst is responsible for the grant and contract accounting activity for the California State University, Dominguez Hills Foundation.

Typical duties will include, but are not limited to: reviews and sets up new grants and contract accounts; provides customer service to project staff and grantor agency; audits and approves purchase requisitions, payment authorizations and payroll time sheets for proper account number and budget fund availability; prepares journal entries; monitors grant and contract activity for Federal and/or State regulation compliance and contract compliance; monitors released time, overload and independent contractor activity; monitors Federal monthly and quarterly reports; prepares schedules, as assigned, for the annual report; participates in the annual audit and other audits, as required.

ESSENTIAL DUTIES AND RESPONSIBILITIES

Under the direction of the Manager of Post Award Administration, the incumbent will be responsible for the following. Other duties may be assigned.

Daily / Weekly Responsibilities:

Provide customer service to campus project directors, administrative staff and grantor agencies; responsible for all billings and financial reports required by the grantor agency; provide payroll and transaction reports; provide account balances and research regulations and allowable costs; provide information regarding pending contracts; follow-up with Post Award Assistant and work with project staff on released reimbursed time contracts; perform budget revisions; work with Post Award Assistant to prepare and monitor subcontracts; assist other Post Award Analysts with their accounts on an as needed basis.

Review and setup new grants and contracts; work with new Project Directors to acclimate them to the Foundation and its policies; provide post award orientation and training to PIs and project staff as necessary; calendar financial reporting due dates.

Work with Post Award Assistant to audit/approve purchase requisitions, payment authorizations and payroll time sheets for proper account number and budget fund availability; make corrections to object codes and totals, check for authorized signatures, check the funds available per line item, as well as, the total budget; work with Project Directors and project staff for missing information or non-allowable expenditures on authorizations.

Request missing documentation or incomplete cost center with object codes for journal entries; process salary and burden reports for transfers of salary and fringe benefits; verify that transfers are allowable.

Monitor grant and contract activity for Federal and/or State regulation compliance, contract compliance and reporting requirements; use internet access to research federal regulations with various agencies, such as, OMB Circulars, Uniform Guidance, DHHS, USDA, USDE, NSF, NASA, NIH, Department of Justice, Code of Federal Regulations, and CFDA; contact funding agencies for prior approval when necessary.

Monthly Responsibilities:

Generate billings and financial reports required by the grantor agency; prepare invoices in computer system; prepare special invoices provided by the agencies; process draw report and compare to the trial balance by cost center; prepare, print and mail the invoice to the agency; prepare federal forms SF 425 and other forms as required; review invoices, account balance and cost sharing information; request drawdown of funds through Ed.gov system, Research.gov, DPM – Smart Link II system, ASAP system and other electronic systems as required; process grant/contract billing reports; prepare and enter the journal entries for the electronic fund transfers; monitor bank statements for unidentified electronic fund transfers.

Process reports with the ending dates of grants and contracts; notify project staff of the following: when the grant or contract is ending, the current balance in the account, deadline to submit documentation for processing, and requirements for requesting a no-cost extension.

Responsible for the close-out of grant and contract accounts after the project has ended; follow-up with the project staff on all incomplete requirements of the contract; follow-up with the funding agencies to collect unpaid invoices; ensure accounts are not closed until all invoices have been paid and all requirements of the contract have been met; ensures final close out of an account is completed in a timely manner.

Quarterly Responsibilities:

Prepare and submit quarterly reports (including electronic reports) to the agencies; review cost sharing with the Post Award Assistant and project staff; review report used for 1% surcharge on grants and contract activity; prepare quarterly invoices for 1% surcharge as needed.

Other Responsibilities:

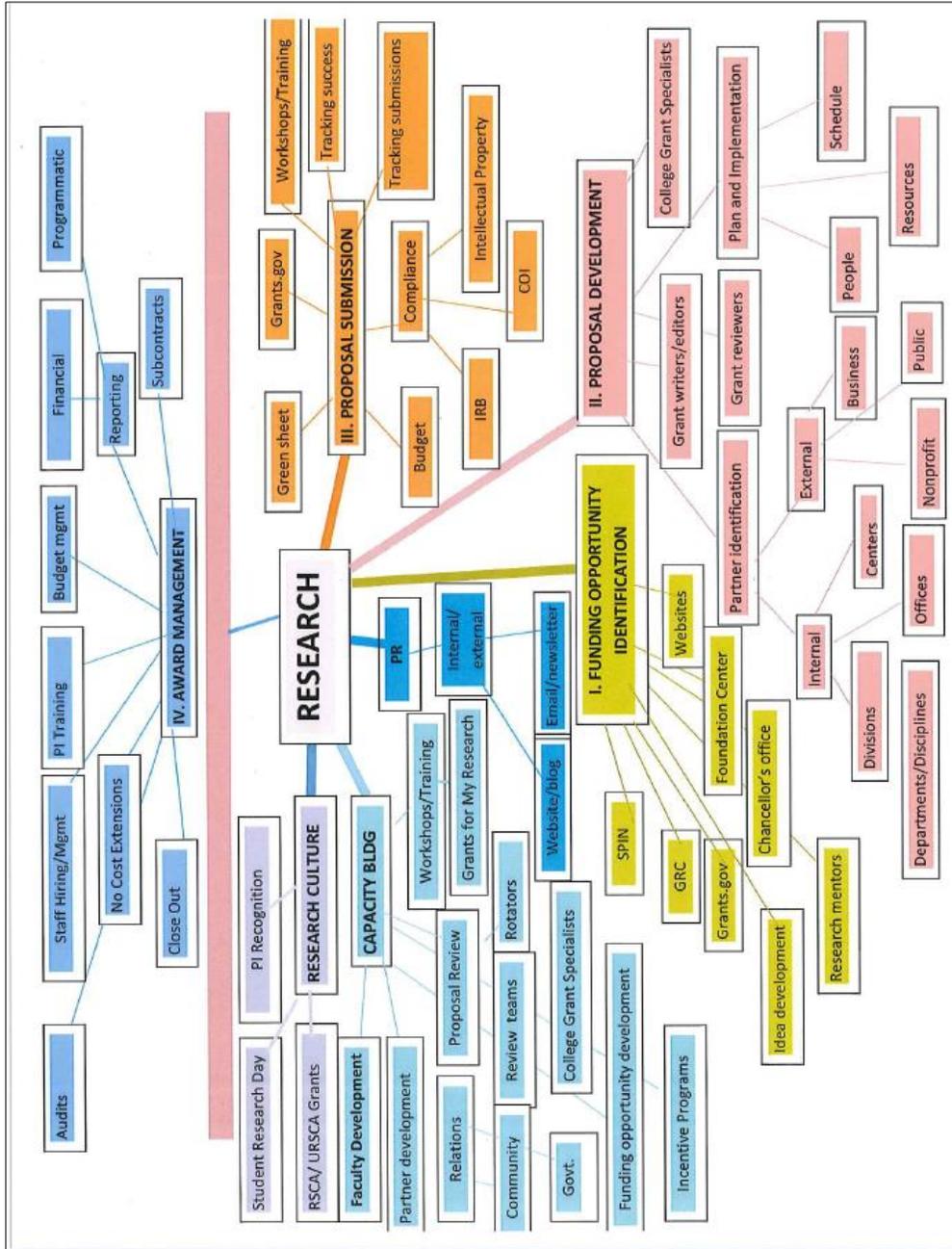
Participates in audits, training presentations; attends conferences relating to grants and contracts. Ensure liability or travel insurance for grants and contracts is obtained as needed for the scope of work. Conduct equipment inventory as it relates to grants and contracts.

- Set up and performance of data entry for new accounts: Reviews an contracts; processes cost center set-up; maintains cost center files, s computer to include contract information, budget, indirect rate, numbers, remit to address book numbers, category codes, and cost : journal entries, accounts payable, accounts receivable, purchasing activities within cost centers; enters supplemental data in the compi
- Processing of journal entries, accounts payable vouchers, travel requisitions: Enters and posts journal entries; works with Post Aw missing documentation or incomplete cost centers with object code:
- Review/approval of new hire packets for all post award accounts: W Analysts and/or Human Resources to request missing documentation centers with object codes.
- Review/approval of employee timesheets for all post award accou |
have proper cost centers and budgeted funds available; makes correc totals; checks for authorized signatures; checks the funds available p total budget.
- Providing customer service: Works through/with the Post Award Ana require communication with our customers. The respective Post Aw only source of communication/contact for their respective colleges/: campus community.
- Performing invoicing: Prepares invoices in computer system; sets up contact information for invoices in computer system; prepares speci the agencies.

- Provides general administrative support: Provides a wide range of general administrative support for the Post Award Analysts, including photocopying, filing, research, preparing/ mailing out letters, and related functions.
- Other responsibilities: May participate in audits; performs other duties as assigned.

Appendix L

Graphic Representation of Pre-Award Functions and Needs for Services



Appendix M.

Post Award Budget Estimates

Position Title	Current	Future	Previous Position?	Budget Estimate
Manager, Post Award Administration		X	Yes, as Director	\$ 116,800
Post Award Analyst I	X			\$ 80,300
Post Award Analyst II	X			\$ 94,900
Post Award Analyst II		X	No, new position	\$ 94,900
Post Award Assistant		X	No, new position	\$ 65,700
			TOTAL BUDGET:	\$ 452,600

R. Statham, November 5, 2015

Appendix N.

Budget Estimates for Pre-Award Staff at CSUDH, With Operational Budget Impacts Shown

*Office of Graduate Studies and Research
Office of Research and Sponsored Programs (Pre-awards)*

PERSONNEL BUDGET IMPACT		
Position	Purpose	Salary
Faculty Director of Research Development (STEM & Health Science)	a wide range of pre pre-award services to faculty seeking STEM and Health Sciences grants, focusing on NSF and NIH (year 1)	\$ 115,000
Grant Specialist/Compliance Specialist	grant submission and compliance support (year 1)	\$ 75,000
Director/Associate Director of Research and Sponsored Programs	grant development and submission oversight and implementation (year 2)	\$ 95,000
Research Development Specialist (Humanities and Social Sciences)	pre pre-award support for faculty seeking grants in Humanities and Social Sciences	\$ 75,000

OPERATIONAL BUDGET IMPACT		
Program	Purpose	Annual Budget
Intramural Grant Program (CSUDH RSCA)	1) to provide funding for reassigned WTUs, summer salary, travel and student assistants for faculty working on new and ongoing research projects 2) to stimulate development of extramural grant proposals	\$ 300,000
"Grants for My Research"	grant writing academy	\$ 30,000
Grant writers/editors	40 proposals * 20 hours * \$110 /hour	\$ 88,000
Mentoring and scientific grant review services	10 R1 mentors @ \$1,500 and 25 R1 scientific reviewers @ \$ 1,000 each	\$ 40,000
	TOTAL:	\$ 458,000

Appendix O.

Review of Dr. Katy Pinto's Recommendations



Reviewing Dr. Katy Pinto's Recommendations

Boyum

October 15, 2015



Short-Term (Low Cost) Pre-Award

Proposal / Idea	What Would It Take?	Timeline; Cost; Priority
Build library of budget templates, focusing on most common external funders (NIH; NSF; Education; etc.)		
Update Websites to include RFPs and Possible Emails		
Training sessions on DH funding databases		



Short-Term (Low Cost)

Post-Award

Proposal / Idea	What Would It Take?	Timeline; Cost; Priority
Training Sessions for new PIs		
Help with Annual Reports: <ul style="list-style-type: none">•Codes•Notifications of Upcoming Deadlines•Templates to Help Faculty Prepare		



Long-Term (Medium to High Cost)

Pre-Award

Proposal / Idea	What Would It Take?	Timeline; Cost; Priority
<u>Training Sessions on Grants</u> to help faculty develop capacity for grant-seeking		
<u>Additional Staff to:</u> <ul style="list-style-type: none">•Assist with proposal identification, preparation, relationships with program officers•Assist with submissions		



Long-Term (Medium to High Cost)

Post-Award

Proposal / Idea	What Would It Take?	Timeline; Cost; Priority
Report Regularly on PI Budgets		
Build Reputation for Post-Award / Foundation		



Long-Term (Medium to High Cost)

University

Proposal / Idea	What Would It Take?	Timeline; Cost; Priority
Keep Promises – matching funds; space; other		
Let Faculty Know How indirect Costs are Spent, and How Calculated <ul style="list-style-type: none"> •Seek more open-ness and transparency 		
Build connections between pre- and post-award staff and functions		

Appendix P.



Understanding Faculty and Institutional Capacity in Grant-Seeking Activities at a Predominantly Undergraduate Institution*

By
Katy M. Pinto, Ph.D.
Sociology
CSU, Dominguez Hills

*Do not cite without author's permission

EXECUTIVE SUMMARY

Internal documents at CSU Dominguez Hills identified a sharp decline in external grant seeking during the 2007-08 and 2013-14 academic years. More specifically, the attempts for external grants submissions dropped from 105 attempts in 2007-2008 to 36 in 2013-2014. While this alarming trend reflects some of the economic downturn of the time, the downturn alone cannot explain this decline. A closer examination of the attempts showed that some faculty persisted in the face of economic decline and institutional turnover; in short, they applied for grants on a yearly basis, but some faculty stopped seeking grants altogether. Understanding the factors that created a faculty persistent in the face of an overall institutional decline was one of the initial drives in this study. Building faculty capacity and understanding best practices for faculty was another motivating factor in the study. During the study, faculty spoke of their many successes and barriers in their grant-seeking activities, and it became a common theme in faculty interviews. This report presents preliminary findings and offers suggestions and recommendations based on faculty interviews. The interviews asked respondents to discuss their experience in seeking grants at CSUDH and asked for descriptions of their experience and recommendations around the pre-award and post-award process.

Approach and Methods

In order to understand the pre- and post-award process at CSUDH, we conducted 15 in-depth interviews with faculty during the Spring 2015 semester. In-depth interviews provide researchers with the opportunities to document processes from the perspective of the respondent; as such, the interview is an ideal method for identifying and documenting the experiences that faculty have in the pre- and post-award process. A non-random sampling method was used to recruit the faculty. The faculty were selected identified in two ways. First, faculty who had applied consistently to external grants from 2007-2014 were recruited. Second, junior faculty who had been on campus three years or fewer were recruited. A total of 15 faculty agreed to an interview (25 were contacted and could not participate for varying reasons). The faculty in the study are from three of the largest colleges on campus (NBS, COE, and CAH)²⁰. Each interview was from 45 to 60 minutes, and respondents answered a guided open-ended question protocol around pre-award and post-ward themes.

The preliminary report here focuses on the in-depth interviews, but another source of data is a review of internal documents (mentioned above).

Another important note on methodology is that this program was originally designed to be in a focus group setting, but, when the researcher approached participants, many stated that they would not be honest about how they truly felt about the process in an open forum. First, junior faculty were concerned that they would look unprepared in front of their peers who might later be in positions to evaluate them for tenure. Second, faculty who were very critical of the pre- or post-award process were concerned about the political ramifications of their opinions. As such, we took great lengths to protect the confidentiality and anonymity of the respondents who were willing to participate.

Context

²⁰One respondent was grouped into COE to protect their anonymity. Also, detailed data analysis available upon request.

CSU Dominguez Hills suffered greatly during the years of the economic recession, and it experienced much administrative turnover. The instability of administration and economic climate was felt across campus, and the ripple effects of these factors are not known or currently studied. The campus student body mirrors the surrounding communities and the classification of CSUDH as a Hispanic-Serving and Minority-Serving Institution positions the university as competitive for external research grants that want to support training for students and the local communities that DH serves. As part of a predominately undergraduate institution, the faculty face heavy teaching loads and an increasing demands to maintain vibrant research agendas (which includes seeking external grants).

Findings:

Finding 1: Institutional structures in a university can support grant activity research or they can create barriers for grant-seeking activities. Faculty identified several structures of support and barriers that shaped their grant-seeking activities (see Table 1).

Table 1. Institutional Structures and Effect on Seeking External Funding

Structures of Support	Effect on Seeking External Funding
Grant writers	Increased faculty grant seeking
Pre-award Faculty Research Liaison	Increased faculty grant seeking
Internal Awards	Increased faculty grant seeking
Barriers from Institution	
Unstable Administration	Decreased faculty grant seeking
Disconnected Pre-Award and Post-Award	Decreased faculty grant-seeking desire
Post-Award Support	Decreased faculty grant-seeking desire and increased faculty mistrust
Broken Promises	Decreased faculty grant-seeking desire and increased faculty mistrust

Finding 2: Faculty capacity is key in maintaining a consistent external grant-seeking activities. There were several characteristics that persistent faculty displayed in terms of capacity and these factors contributed to their external grant-seeking activities (see Table 2).

Table 2. Faculty Capacity and Effect on Seeking External Funding

Faculty Capacity	Effect on Seeking External Funding
Drive for funding	Increased faculty grant seeking
Experience	Increased faculty grant seeking
Collaborators	Increased faculty grant seeking
Know your audience	Increased faculty grant seeking
External Pressure	Decreased faculty grant seeking

RECOMMENDATIONS

- 1) Decrease confusion around budgets (pre-award).
- 2) Increase funding for pre-award faculty capacity.

- 3) Increase funding for pre-award submission process.
- 4) Consider creating a smoother pre-/post-award process.
- 5) Decrease confusion around budgets (post-awards).
- 6) Decrease confusion around annual reports.
- 7) Increase transparency around indirect costs.
- 8) Increase transparency around indirect costs.
- 9) Increase transparency around indirect costs.

SOLUTIONS: SHORT TERM AND LONG TERM

Short Term (Low Cost)

- 1) Build library of budget templates (pre-award).
- 2) Update website to include RFPs and possible emails.
- 3) Training sessions on DH funding databases.
- 4) Training sessions for new PIs (post-award).
- 5) Annual Reports (post-award).

Long Term (medium to high cost)

- 1) Training sessions on grants (pre-award).
- 2) Additional Staff (pre-award).
- 3) Additional Staff (post award).
- 4) Additional staff (pre and post award).
- 5) Report regularly on PI budgets.
- 6) Reputation building.
- 7) Promises you can keep.
- 8) Increase transparency around indirect costs.

Understanding Faculty and Institutional Capacity in Grant-Seeking Activities at a Predominantly Undergraduate Institution

Public universities often find themselves pressured to secure external dollars because of shrinking budgets. Moreover, in lesser funded state universities, the lack of institutionalized supported for research, combined with the pressure of external funding, contributes to a weak research infrastructure and capacity. Ironically, it is in these institutions that faculty need more support for research because they usually have higher teaching loads and fewer research assistants or postdocs than those in research intensive institutions. However, both individual and institutional capacity can support and stimulate research at predominately undergraduate institutions. Identifying best practices among faculty who are successful at getting grants and identifying the institutional barriers they face are among the first steps in strengthening faculty and institutional capacity. Using qualitative interviews with faculty at CSUDH, we find that through the faculty descriptions of the process of seeking grants they identify the individual factors that influence their capacity in grant seeking, but they also describe the considerable structural barriers that influence their desire, willingness, and efforts in seeking grants.

INSTITUTIONAL STRUCTURES

Institutional structures in a university can support grant activity research or they can create barriers for grant-seeking activities. In the interviews conducted with faculty, two main themes reoccurred: structures of support and barriers from the institution (Table 1 below).

Table 1. Institutional Structures and Effect on Seeking External Funding

Structures of Support	Effect on Seeking External Funding
Grant writers	Increased faculty grant seeking
Pre-award Faculty Research Liaison	Increased faculty grant seeking
Internal Awards	Increased faculty grant seeking
Barriers from Institution	
Unstable Administration	Decreased faculty grant seeking
Disconnected Pre-Award and Post-Award	Decreased faculty grant-seeking desire
Post-Award Support	Decreased faculty grant-seeking desire and increased faculty mistrust
Broken Promises	Decreased faculty grant-seeking desire and increased faculty mistrust

Structures of Support:

Grant writers: Access to grant writers was a key factor for faculty who secured multi-million dollar external grants. Grant writers served as sounding boards and administrative help for these faculty. In particular, securing multi-million dollar grants requires attention to detail to the RFP, and grant writers can serve as a check and balance for faculty to ensure that the proposal is indeed keeping to project goals and budget requests.

Pre-award Faculty Research Liaison: The faculty interviewed ranged in number of years at DH; however, the faculty employed at DH for 10 years or more were very vocal about how valuable the research

liaison in Graduate Studies and Research had been for their research. The faculty liaison helped in several ways. First, she identified grants for faculty that was specific to their research. Second, she frequently reviewed proposals and gave faculty feedback before they submitted. Finally, likely most important is that this liaison meet with program directors of external agencies. These meetings often resulted in better direction for faculty who could tailor their proposals to the programs they were interested in, and, in at least one instance, a faculty member was able to identify a major error in her previous applications. Unfortunately, for this faculty member the error was caught too late, but it was an important lesson in having and sustaining relationships with program officers.

Internal awards: Almost all of the faculty in the study received and applied for internal grants, like RSCA grants, that supported their work by publishing or by being given time for grant writing. While these were not the main mechanisms that guided faculty to successfully securing external grants, there is a relationship between seeking internal grants and external grants. Applying for internal grants is an indicator of faculty persistence and of institutional support for research activities which motivate faculty to continue to seek external activities.

Institutional Barriers:

Unstable Administration: Many faculty in the study cited an unstable administration that was problematic for their research endeavors. An ever-changing administration altered the expectations of what would be supported on campus. For example, one researcher spent considerable time applying for a grant that would support at-risk students on campus; the grant was supported by the college and university administration one year, and was not funded but it received very positive external reviews. The next year there were major administration changes the grant was suddenly not supported by university administration even though the faculty member had received overwhelmingly positive reviews on the proposal that indicated it was a very fundable project with re-submission.

The changes in the administration and reorganization of offices has not only been confusing, but also signaled a lack of leadership for faculty in terms of support for grant activities. It is important to note that the majority of faculty interviewed were resilient in their efforts, and, even though they faced an unstable administration, they persisted in seeking grants. A few of the faculty did adapt by seeking external funding outside of CSUDH and they survived this unstable administration by working outside of the system. One faculty member opted out of the system and did stop seeking grants, but the vast majority of the faculty interviewed persisted and found ways around the institutional barriers.

The changes in administration have also meant that dollars are allocated differently, and, depending on which administration is in charge and on the budget priorities of that administration, some faculty have found it difficult to secure any support with grant writing. This means that support for grant activities like grant writers or course releases were available to faculty depending on the administration as well as on the networks and track record that faculty had established with seeking external grants. Some faculty with proven track records were more likely to secure support, even in times of low institutional support. Faculty who were starting out their grant-seeking activities during times of low institutional support did not get support. But again, many persisted in the face of low institutional support.

Disconnected Pre-Award and Post-Award offices: Overwhelming the institutional barriers that were described by faculty in their external grant seeking actives was a disconnect between the pre- and post-award offices. One of the most common complaints was not having a person who really understood the

budgets that need to be created in order to secure the grants and a person who really understood the annual reports that needed to be created after grants were secured. Two different offices manage external awards, thus essentially creating both silos and a huge leak in the external grant pipeline, and this was a site of frustration for many of the faculty who were successful in getting grants. The faculty were always clear in stating that they appreciated the efforts of the overworked staff both pre- and post-awards, but the system was broken. The administration did not offer administrative support to help faculty in pre- and post-award, thus creating confusion about what a budget should look like. For example, several faculty pointed out that they worked with a pre-award person on a budget, but, when they were granted the award, some items were not calculated the way that the post-award office (foundation) approved of; moreover, sometimes the budget did not allocate for indirect costs in the same way that the pre-award version had calculated them. This left faculty with less money than they had budgeted for in the study and with less resources; hence, they became concerned that they would not be able to deliver the research product they promised to the external funder. These types of errors could then potentially hurt future grant-seeking endeavors.

Post-Award Support: Faculty were very understanding of the post-award limitations in the foundation, mainly lack of staff. However, they expressed a high level of frustration with the post-award office. At least two faculty asked to stop the interview because recalling their frustrating experiences in the foundation officer were causing them anxiety at the time of the interview.

In the worst case scenarios, the foundation office did not support faculty in producing year-end reports and made them delinquent with external funding agencies; consequently, they missed opportunities for future funding. Many reported not being able to pay outside vendors or contractors on time and just feeling swamped with micro-managing external funds received. Many began telling colleagues to keep their own budgets (or hire grant administrators) because the budget reports from the foundation would never arrive or arrive too late. Unfortunately, this created a lot of resentment in some faculty because the indirect costs collected by the foundation were not visibly used to provide any grant administration support.

Indirect costs in particular were seen as being very ambiguous, and the faculty complained about not having administrative support for their grants, not receiving any indirect costs to help them secure future grants, and essentially taking on all administrative work themselves. Many asked, "Why do so many indirect funds get taken out of my grants and I never have any support?" If indirect costs are intended to support the administration of grants, then faculty felt that they should get more support. The fact that many faculty experienced problems in the administration of their grants led many of them to distrust the foundation's use of indirect funds. Many saw the foundation as surviving and running from indirect funds instead of having indirect funds be a small part of a budget.

In addition, the ambiguity and perceived misuse of indirect funds by the foundation led the foundation to gain a negative reputation among faculty. This was especially clear from junior faculty who were warned by more senior faculty about seeking external grants. The junior faculty member in this study was advised to run grants through another institution because our intuition did not have the capacity to manage large grants. The negative reputation was enough to give faculty pause and to make many of them not want to consider entering into a relationship with the foundation. The reputation included a fractured view of both the pre- and post-award offices on campus with folks citing that each division worked separately and did not communicate, which did not serve the interests of the faculty.

Broken Promises: Many faculty expressed frustration over promises broken by the administration. For example, many faculty needed support in terms of space to run their funded programs, but, after their projects were funded, the university did not keep up its end of the bargain and find the researcher a space. Similarly, there were some broken promises with regards to matching funds and even matching time off.

FACULTY CAPACITY

In discussions with faculty about their experience with seeking external funding, several themes reoccurred around their capacity in seeking external grants. Many of the faculty interviewed in this study had been persistent and consistent grant seekers on campus. For example, while the overall number of grant submissions decreased at DH from 2007-2014, the majority of the faculty interviewed in this study did not decrease their submission efforts. This indicates that they are persistent and consistent. As such, we can learn much about their capacity in grant seeking and identify factors that could help faculty become more successful grant seekers (Table 2).

Table 2. Faculty Capacity and Effect on Seeking External Funding

Faculty Capacity	Effect on Seeking External Funding
Drive for funding	Increased faculty grant seeking
Experience	Increased faculty grant seeking
Collaborators	Increased faculty grant seeking
Know your audience	Increased faculty grant seeking
External Pressure	Decreased faculty grant seeking

Drive for funding: The majority of the faculty interviewed consistently sought out grant opportunities as part of their activities. It is important to note that many of these faculty interviewed were among the most persistent and consist grant-seekers on campus. In other words, internal documents showed that many of the faculty interviewed had applied for one grant yearly between 2007 and 2014; this is important because, during this time, there was a decline in grant-seeking activities on the part of faculty. So, despite any barriers they reported facing on campus, they still had active grant-seeking agendas.

In fact, some faculty reported that seeking external grants was part of their careers as professors and they had a long tradition of seeking grants (as graduate students or prior positions before DH). The act of seeking grants over an extended period of time helps faculty learn from experience and they learn that seeking grants is often a mix of preparation, skill, and luck. The process of engaging external stakeholders and funders becomes less vague when faculty persist and consistently seek out grants. Faculty see “failures” in funding as an opportunity to learn from any mistakes. The main tension that arises is that faculty are willing to devote their time and energy to external grants, but their departments are not always willing to support this as a research endeavor. In fact, many faculty pointed out that there is a tension between seeking grants and publishing.

However, experienced faculty also described their passion for research. A passion for research that involved students and supported the needs of the community were common themes expressed by faculty who were among the most persistent external grant seekers.

Experience: Many of the persistent faculty also had considerable grant experience before arriving to CSUDH, and this experience helped them navigate the sometimes-difficult CSUDH administrative landscape. They were persistent in part because they had been successful in securing grants at other institutions. Because they were successful at other institutions, they knew they could be successful seeking grants at DH and this motivated them to continue seeking grants. Also, all of the faculty had applied for internal funding like RSCA and when awarded faculty used this for much-needed time to work on research projects. RSCA funds were used to publish research, generate pilot data, and increase overall research agendas which would make faculty more competitive in external grant competitions.

Collaborators: The persistent and successful grant seekers had collaborators on their grants and many saw collaboration as part of the process of successful grant-seeking. The main type of collaboration was with other researchers (inside DH and outside DH) who were connected to the type of research they were conducting. Several grant partnerships were with a more senior researcher and these benefited junior researchers because it allowed them to be part of a collaboration with someone more experienced who had a been successful in the past. Some of the collaborations were also done to combat the structural barriers faced at DH; essentially, grants were submitted through the collaborators' institution.

Know your audience: Some of the more successful grant-seekers knew all of the funding agencies that would support their research. Some of this knowledge was gained from experience and suggestions of others, but faculty were also familiar with certain agencies since graduate school. The importance of knowing funders who support one's research is key because these become the agencies that successful grant-seekers targeted routinely. Experienced faculty, compared to junior faculty, were more likely to know who their external grant funders would be. Junior faculty were more likely to only know of one or two external granting agencies, while experienced faculty often had at least four external granting agencies (or programs) that they routinely targeted.

External pressures: One factor that influenced faculty grant-seeking activities were obligations outside of their research and teaching agendas. For example, faculty reported having less time to devote to seeking grants when their departments expected them to serve as department chairs. The administrative responsibilities took time away from their grant-seeking activities. The administrative responsibilities were especially challenging for faculty who had never served as department chairs, so the first few years of learning to be chair took all the time and energy faculty had and that competed directly with seeking grants.

RECOMMENDATIONS

- 1) Decrease confusion around budgets (pre-award).** Many faculty wondered why there was not enough consistent budget support in the pre-award process. If many faculty have applied for grants though NSF, NIH, Department of Education, why are there not budgets that set clear limits or definitions for various costs specific to DH? In addition, why do budgets change when they reach post-award process? Communication between the two awards processes and potentially a reorganization that helps faculty in both would decrease this leak in the award pipeline. (Faculty

even expressed confusion regarding internal grants awarded because this money is dispersed to ARMs who do not give regular reports to faculty on their budgets.)

- 2) **Increase funding for pre-award faculty capacity.** Not having a faculty liaison who is actively seeking grants for faculty or establishing relationships with program officers leaves many faculty working overtime to secure grant funding. Junior faculty need this kind of individual to increase their capacity (e.g., identifying grants and improving proposal writing) and senior faculty need this individual to establish and maintain relationships with program officers.
- 3) **Increase funding for pre-award submission process:** Only having one person to prepare grants for a faculty of 600 creates some frustrations for faculty who are not prepared and who have not submitted grants before. One person submitting grants is especially difficult when faculty have immediate deadlines for submission and when faculty would like to review the documents before submission. Faculty expressed a feeling of mistrust that their materials were being submitted correctly because they knew they were submitting in a “rush” and there was only one person submitting grants.
- 4) **Consider creating a smoother pre-post award process.** Currently, the offices of pre- and post-awards operate like silos; they do not connect and the faculty point out that this causes great confusion for them in the pre- and post-award process.
- 5) **Decrease confusion around budgets (post-awards).** Faculty who receive win awards reported not knowing what was in their budgets, receiving bills for being over their budgets, or having extra money not spent in their budgets. Again, why do budgets change so much after the award process? Perhaps communication between two groups could help faculty budget correctly and avoid any post-award confusion in their budgets.
- 6) **Decrease confusion around annual reports.** While the staff in the foundation are helpful, faculty felt that they did not have the capacity or expertise to support them with annual reports. This created a lot of confusion and anxiety for faculty who felt like this administrative task fell mainly on their shoulders.
- 7) **Increase transparency around indirect costs.** The ambiguity around indirect costs has greatly hurt the reputation of the CSUDH foundation. Faculty reported bringing in hundreds of thousands of dollars and even millions of dollars but not getting any administrative support to file annual reports. In addition, many reported not having funds to hire grant writers (who could help them secure more funding) or travel moneys (which could advance their research agendas and help them secure more funding).
- 8) **Increase transparency around indirect costs.** In addition, new programs to help increase faculty capacity for junior faculty are sorely needed, but funding for these programs remains unsteady; there is not a commitment from the administration to fund this. Furthermore, there is no clearly established or clear direct link that indirect funds are used to support this type of faculty development.
- 9) **Increase transparency around indirect costs.** Unfortunately, the ambiguity around indirect costs has also hurt the reputation of the foundation and new junior faculty are discouraged from bringing their research to DH because of the past dysfunctions (or perceived dysfunctions) of the organization. The foundation must work on its reputation on campus if it hopes to court faculty research and external grant agencies.

SOLUTIONS: SHORT TERM AND LONG TERM

Short Term (Low Cost)

- 1) Build library of budget templates (pre-award): One way to help faculty prepare budgets for external grants is to provide them with templates for the most common external grant funders that have funded projects at CSUDH (e.g., NSF, NIH, Department of Education); indicate set costs of standard items (e.g., course release, student assistant fees, and indirect fees); and communicate with post-award offices so that they do not change if award is funded.
- 2) Update website to include RFPs and Possible Emails: Senior faculty recalled times when they would regularly receive communication from Graduate Studies and Research Office regarding external funding. While some faculty stated that the emails were largely targeted to STEM fields, the simple act of receiving a call in their email reminded them that they should try to identify funding. Some faculty also would find relevant funders in the email. This simple task could create visibility again from GS&R office and signal to faculty across campus that they should be engaged in external grant seeking activities, and it could create traffic into the office from faculty to who would like help with grant preparation.
- 3) Training sessions on DH funding databases: Similar to the suggestion above, the GS&R office could provide one or two training sessions to faculty on the databases that are currently available for faculty. At least one database on campus will allow faculty to create a profile and generate automated emails directly to faculty based on research interests. Many of the faculty interviewed were not aware of this resource.
- 4) Training sessions for new PIs (post-award): Faculty reported a lot of confusion in the post-award process. Several faculty had been PIs for years, but there were many changes that often occurred in the foundation with changing administrations. While not all faculty appreciated the faculty training, they did see it as a sign that the foundation knew (or did not know) about how to help them administer grants. Useful training sessions that are relevant to the PIs on campus will do a lot to foster trust again with PIs. It could be part of creating a more transparent process. But again, the key is creating a training session that is useful and relevant and not just viewed as an administrative hurdle.
- 5) Annual Reports (post-award): Faculty are often perplexed as to why gathering data for their annual reports is so difficult. The foundation codes for expenses do not always translate into codes for external funders. The foundation could help by creating codes for foundation use and codes for external funders. The foundation could also help by staying on top of upcoming deadlines. For example, faculty should be notified well in advance that they have an upcoming annual report. Because annual reports are common, the foundation should have some templates available to help faculty prepare these reports. Finally, the foundation should be aware of any changes to the annual reports by funders, and they should notify faculty of these changes well in advance. In short, the

foundation should help ensure that faculty are in compliance with these annual reports. Building the staff capacity to do these tasks might be a mid- to high-range cost, but well worth the investment.

Long Term (medium to high cost)

- 1) Training sessions on grants (pre-award): Continue programs like “Grants for my Research” to help faculty who have low capacity for grant seeking. Building faculty capacity in grants is a long-term goal that can have long-term benefits. Creating a culture of support for seeking grants among junior faculty can have lasting benefits for DH because these faculty are more likely to get tenure at DH and stay at DH in the long term and consistently seek external funding. Create new programs for mid-career and advanced level faculty who have taken on administrative leadership roles and feel like they do not have time to pursue external funding.
- 2) Additional Staff (pre-award): The pre-award and post-award offices need additional staff. In the pre-award office, faculty need an additional person to assist with the submissions of grants. In addition, faculty need a faculty liaison that will help them with proposal identification, preparation, and with relationships with program officers. This person could even help identify collaborators for research.
- 3) Additional Staff (post-award): The faculty concerns about the post-award process stems from having few staff to support faculty needs in the post-award process. Almost all of the faculty interviewed worked with one person in the foundation on many of their urgent and pressing needs in administering their grants, and they did not feel like they received timely or even correct responses to their queries or requests. Adding support staff to handle multiple projects will create a more supportive environment for faculty. This can also help faculty understand where their indirect costs are going as well as to provide more administrative support (i.e., another staff person is essentially another person to work one-on-one during post-award).
- 4) Additional staff (pre- and post-award). Currently, the staff at the pre- and post-award offices do know each other and work with each other, but there is no formal position of someone who can see a faculty through the entire process of an award (from pre to post). This creates a feeling of disconnect with faculty who see the two offices as working separately. This disconnect between the two offices leads to a lot of confusion among faculty, so a person who is connected to the entire process from beginning to end could help seal this crack in the grant process.
- 5) Report regularly on PI budgets: Once faculty secure awards, the tracking of their budgets is slow and confusing. Several faculty reported on a new software or computing process at foundation, but many had not seen anything different in the timeliness or reporting of their budgets. This issue needs to be addressed to help faculty manage their budgets and to create better mechanisms for faculty who eventually need to write annual budget reports. In addition, providing regular reports on budgets could help create a more transparent view of where indirect costs are going and what they are funding.
- 6) Reputation Building: This is a long-term process, but there are some low-cost ways of doing this, and the investment is worthwhile. Connect with faculty on campus and let them know what the foundation is doing to support their work. This could be as simple as attending a faculty senate meeting or participating in convocation. This might not be traditional work completed by a foundation on other campuses, but the fact that the foundation’s reputation is so low among faculty

at DH is something that should be addressed if we hope to get faculty engaged in research with the campus. Many of the faculty I interviewed mentioned that the staff always tried to help them, but the faculty knew that they were overworked and understaffed. Let people know all of the programs that you manage and let them see how overworked the staff is on campus! In other words, acknowledge where you will improve to provide better support. Also, become more relevant to faculty (and staff) on campus. Currently, the feeling is more that the foundation is an obstacle: help people see that it could in fact be the solution to improving research on campus. Educate people as to the role of a healthy foundation and what a healthy foundation can do to for a campus community.

- 7) Promises you can keep: Many faculty felt like they worked hard to secure external funding, which brings resources and often prestige to the campus; however, sometimes the administration appears not to keep its promises to support faculty of research. Time for faculty and space were common promises that were broken. In two instance, the university administration also broke promises to match funds from an external funder. Faculty need to know that the promises made to them will be kept. The entire grant process is built so that many eyes see the proposal before it is sent out to external funders; hence, any flags in matching funds or finding space should be identified before a grant is sent out and every effort to keep the promises made to faculty should also be kept. Breaking promises means that some faculty consider returning external funding or not seeking funding again in the future.
- 8) Increase transparency around indirect costs: Let the faculty know how indirect costs are spent and how they are calculated from the beginning. Consider working with faculty on a formula for indirect costs that is transparent and that is “fair” for what they are being given. Faculty often repeated that they would not have a problem with indirect costs if they were actually getting the administrative support they were promised in high indirect costs. In addition, many of the senior faculty did not understand why, although they brought in so much money to campus, they never had any money for conference travel or grant writers in their indirect costs. At least one faculty member mentioned feeling like bring up indirect costs with the foundation was unwelcomed and that they felt that they were perceived as just wanting to “make money” from indirect costs. This same faculty member pointed out that he/she is not trying to “make money” from seeking grants; instead, he/she is carrying out research and is seeking support for that research. Thus, perhaps a less adversarial view of this sensitive topic will help the foundation understand faculty needs and concerns and a more open and transparent foundation will help faculty see the role of foundation on campus and its contribution to supporting faculty research endeavors.

Appendix Q

Division of Student Affairs Interests in Grant Administration



DIVISION OF STUDENT AFFAIRS

1000 East Victoria Street • Carson, CA 90747 • (310) 243-2563

The CSUDH Division of Student Affairs has a long-standing history of application for and receipt of grant awards. These grants have come from both private foundations and government entities. Most notably, the Division has secured more than \$15 million in grant funding from the U.S. Department of Education to support multiple TRiO programs targeting some of our campus and local community's most needy students. Among these programs are Upward Bound, Upward Bound Math Science, Student Support Services, Student Support Services – Veterans, and GEAR UP. Like grant funding secured by faculty, the grant funds secured by the Division of Student Affairs to support these programs is housed and managed through the CSUDH Foundation. As such, program Directors and administrative staff are responsible for working directly with Foundation staff to manage staff payroll & benefits, program budgets, staff travel, and reporting back to program officers associated with grant funders. Given the hundreds of CSUDH students and numerous CSUDH staff members these grant funds support, their management and administration by the University is of particular importance to the Division of Student Affairs.

Appendix R

University Advancement / Development Office

Interests in Grant Administration

Memo for Task Force for Pre and Post Award Process
Division of University Advancement / Development Office
Drafted 11.2.15

OVERVIEW

Effective fundraising from private sources is not done in a vacuum, and fundraising is not just the job of the Development staff. Successful fundraising programs require an institution-wide culture of philanthropy in which everyone values the impact of philanthropy, everyone is prepared to articulate the importance of private support, and everyone has a commitment to recognizing and applauding the generosity of University benefactors large and small. In fundraising, preparation, planning, and execution become a curious mixture of art and science. On one hand, it is complex, detailed, organized, and disciplined. On the other, it is spontaneous and opportunity-driven and requires support and collaboration from a variety of departments.

FUNDRAISING AT CSUDH

The Development Office (which includes Development and Advancement Services) has grown from 7 people in 2014 to 11 in 2015. The Colleges of Education and Arts and Humanities share one Director of Development (DoD). The Colleges of Natural and Behavioral Sciences share one DoD with Health, Human Services and Nursing. The College of Business has one DoD who also manages planned giving and the emeriti faculty program. For the first time, there is a Director of Corporate and Foundation Relations. This investment by leadership is a clear sign that funding to support faculty and university-wide projects is a priority. While the addition of new staff is positive, the Development Office still lacks basic positions that are found in more established and sophisticated fundraising operations (i.e., researchers, grant writers, database analysts). The current Development team is essentially working from the ground up to build the fundraising foundation for the university.

CHALLENGES	STATUS / OPPORTUNITIES
<p>1. Experienced faculty who have had negative experiences with past grants and the pre and post award process or with previous Development or Foundation staff/administration do not want to work with Development to pursue funding.</p>	<ul style="list-style-type: none"> • It may continue to be difficult for Development to work with faculty who have had negative experiences until pre and post award process is improved. • New faculty are eager to begin applying for grants and do not have the negative history with Development, Foundation or Office of Graduate Studies and Research to deter them from seeking funding. • Recommendation: improve the pre and post award process so that new faculty are not discouraged from seeking funding.
<p>2. Philanthropic funds in some cases were not properly managed by previous staff in the Development Office and Foundation.</p>	<ul style="list-style-type: none"> • Past mismanagement makes us 1) vulnerable if/when audited and 2) negatively affects our relationship and reputation with donors. • The Development Office just completed two audits and have received preliminary findings. After review of the findings, a remediation plan will be implemented. • Recommendation: All university employees and students need to be educated on the critical importance of compliance and proper grant/gift management (from solicitation to managing an award to stewardship).
<p>3. The Development Office does not have a team of researchers or grant writers to be able to provide adequate support for faculty.</p>	<ul style="list-style-type: none"> • The Development Office needs a baseline budget for 1 grant writer, 1 researcher, 1 database analyst. • Estimated costs: TBD.

<p>4. Faculty do not know the difference between Office of Graduate Studies and Research and the Development Office.</p>	<ul style="list-style-type: none"> • The Development Office and Office of Graduate Studies and Research are working to educate faculty through workshops and open houses. • The Development Office is sponsoring fundraising training workshops with deans and faculty. • The Office of Graduate Studies and Research may direct faculty who are new and/or not ready to apply for federal grants to the Development Office. • The Directors of Development and Director of Corporate and Foundation Relations have been meeting one-on-one with new faculty to educate them about the differences between offices. • Recommendation: continue to provide faculty with opportunities to learn about grants and fundraising and each year, work with GSR to assess how many faculty submitted and/or received external funding.
<p>5. There is still some confusion about the definition of a grant as defined by Foundation and by Development.</p>	<ul style="list-style-type: none"> • The Development Office, Office of GSR, and Foundation have met to discuss the definitions and the discussions are on-going.

Appendix S

CSUDH Indirect Cost Distribution Policy, June 2010

Memorandum of Agreement
June 2010

CSUDH Indirect Cost Distribution Policy

Indirect costs, also referred to as Facilities and Administrative Costs, are real costs that are reimbursed to the institution for expenses incurred in conducting externally sponsored programs. These costs are determined by federal auditors under the provisions of OMB Circular A-21.

Indirect costs included expenses to operate and maintain facilities, equipment, and grounds; depreciation; administration of departments; and sponsored program administration.

Indirect cost rates are negotiated with the Department of Health and Human Services – the federal cognizant audit agency for CSUDH. These rates are applicable to all federal sponsored projects. Full recovery of these costs is expected on all grants and contracts.

Objectives

The indirect cost program at CSUDH should:

- Maximize total indirect costs recovered
- Maximize the negotiated indirect cost rate of 42%
- Provide incentives to faculty and staff for grant participation
- Provide support for CSUDH grant-related Foundation operations
- Provide operating funds for programs operating on a cost reimbursement basis
- Provide support to the Office of Research and Funded Projects (ORFP) to enhance the research enterprise

Indirect Cost Distribution Plan

This plan is designed to provide incentives to Principal Investigators (PIs) and Academic Deans to develop and submit grant proposals for external funding. However, it is understood that indirect cost return will cover CSUDH Foundation expenses incurred to operate the grants and contracts activity on campus. Currently, \$733,000 is needed to cover these operating costs. Additionally, 1-2% of annual indirect cost earned will be set aside by the Foundation as reserves as required in the Foundation Reserve Policy.

The Research and Funded Projects Office will also continue to receive a fixed amount of \$86,000 of all indirect costs recovered. These funds will be used to support the office and to advance the research enterprise on campus.

The Academic Deans will continue to receive the difference between Foundation's share and the Office of Research and Funded Projects. Additionally, once Foundation grant and contract costs are recovered, and once the 1-2% reserves are withheld, all additional indirect costs are to be distributed to the Academic Deans.

It is the responsibility of each school/college to reimburse the Foundation for cost overruns and non-reimbursable costs due to untimely submission of expense claims, e.g. travel advance/reimbursement and untimely submission of technical reports. Since the Foundation has already advanced these funds, these items will be reimbursed to the Foundation through an offset charged to the indirect allocation of the schools/college.

Summary of Indirect Cost Distribution

- Annually, the CSUDH Foundation shall recover all its costs associated with grants and contracts administration capped at \$746,882.
- Annually, \$86,000 of indirect cost return is distributed to the Office of research and Funded Projects.
- Annually, a minimum of the balance of indirect cost return is distributed to the Academic Deans on a prorated basis, with 1/3 share to PI's and 1/3 share to Departments as incentives.
- Annually, all indirect cost funds beyond those distributed to the Foundation and to the Office of Research and Funded Projects are distributed to the Academic Deans on a prorated basis as shown below.

Sample Distribution of Indirect Costs Recovered:

\$746,882	-	CSUDH Foundation (including 2% reserves)
86,000	-	Office of Research and Funded Programs
Balance	-	To be divided/pro-rated as follows
1/3	-	To Principal Investigators
1/3	-	To Department
1/3	-	To Academic Deans



Dean, Graduate Studies and Research



Executive Director CSUDH Foundation



Provost, VP for Academic Affairs