1. Support Services Report Template

Report Info

Name of the person completing this report: Sean Williams
Title of the person completing this report: Director, Office of Research and Sponsored Programs
Supervisor/dean reviewing report: Linda Dobb
Service: Research Services
Division/College: Academic Affairs

3. Mandated Service

Link to Scoring Rubric

1.1 Please indicate below if any aspect of the service is legally mandated by any of the following and provide the relevant reference.

Federal Law: OMB A-21
Executive Order: E.O. 751, 753, 760, & 890.
Title 5: N/A
Campus Policy: Yes
Any other: Various Sponsor Guidelines
State Law: Yes

Provide a brief explanation, if necessary, in < 60 words.

ORSP is the office solely responsible for reviewing and authorizing grant proposals for submission and for interpreting, negotiating, and accepting contracts and grants for sponsored projects funded by federal, state, private foundation and other public or private sources. ORSP is also responsible for federal compliance with state and federal regulations, financial audits, and the administration of Centers and Institutes.

4. Importance of Service

Briefly describe the service in terms of its primary function(s) and purpose(s) using <120 words

ORSP provides a varied menu of pre/post award assistance to Principal Investigators (PI) engaged in sponsored research activities. These activities range from identifying funding opportunities, proposal development, compliance, subrecipient monitoring, allowable expenditures, institutional authorization, award negotiations, tracking effort, approving expenditures, effort reporting, progress/financial reporting, award closeout and a range of grant related services. California State University, East Bay (CSUEB) has a demonstrated interest in sponsored research and the activities it supports within the surrounding community. Our office works with PIs to alleviate the administrative burden that comes with securing funding. This allows the PIs to focus on their research which subsequently permits them to provide better service to the students and community.

Link to Scoring Rubric

2.1 Who are the primary receivers of this service? (Please enter the percentage of each user group that is relevant)

Students: 10%
Faculty: 55%
Administrators/staff: 20%
Colleges/departments: 10%
Community outside University: 5%
2.2 Please indicate the direct or indirect impact of the service on students for each of the three University Action/Student Impact Areas listed below (for example processing financial aid applications would be direct impact on students while managing utility services would be indirect).

<table>
<thead>
<tr>
<th>Area</th>
<th>Direct Impact on Students</th>
<th>Indirect Impact on Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-college (helping students to enter the system)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>During college (helping students succeed while they are at Cal State East Bay)</td>
<td></td>
<td><img src="%E2%9C%93" alt="" /></td>
</tr>
<tr>
<td>After college (helping students establish meaningful lifework and be socially responsible contributors to society)</td>
<td><img src="%E2%9C%93" alt="" /></td>
<td></td>
</tr>
</tbody>
</table>

Provide a brief narrative (<60 words each) explaining your selection for each area.

<table>
<thead>
<tr>
<th>Area</th>
<th>Evidence submitted to support the chosen selection (&lt;60 words for each)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-college (helping students to enter the system)</td>
<td>Various grants administered by ORSP have program objectives aimed at facilitating K-12 student academic improvement in preparation of these students enrolling and graduating from schools of higher education.</td>
</tr>
<tr>
<td>During college (helping students succeed while they are at Cal State East Bay)</td>
<td>Various grants administered by ORSP have program objectives which provide financial support to students engaged in grant administered programs. Examples include NSF NOYCE Fellows, NSF IMSS, Title IV-E, CAL-SWEC, SSOS, and EXCEL.</td>
</tr>
<tr>
<td>After college (helping students establish meaningful lifework and be socially responsible contributors to society)</td>
<td>Training and Development skills acquired will allows students to further their careers and become the future researchers of the world too.</td>
</tr>
</tbody>
</table>

2.3 Applying the four choices presented below, please indicate the consequence of NOT having this service on each of the actions in the left hand column.

<table>
<thead>
<tr>
<th>Area</th>
<th>4 - Service provides evidence of direct impact in more than one area</th>
<th>3 - Service provides evidence of direct impact in one area</th>
<th>2 - Service provides evidence of indirect impact in more than one area</th>
<th>1 - Service provides evidence of indirect impact in one area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-college (helping students to enter the system)</td>
<td><img src="%E2%9C%93" alt="" /></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Provide a brief narrative (<60 words each) explaining your choice.

<table>
<thead>
<tr>
<th>Area</th>
<th>Evidence submitted to support the chosen selection (&lt;60 words for each selection)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-college (helping students to enter the system)</td>
<td>Students who directly benefit from grant funded programs are less likely to enroll and successfully graduate from college in the absence of service learning grant funded programs.</td>
</tr>
</tbody>
</table>
During college (helping students succeed while they are at Cal State East Bay)

Faculty would find it challenging to stay current and engaged in their research or field of study. Students would also suffer because they would not be able to obtain the proper guidance in their degree program. Overall the university would be critically disadvantaged in aligning itself with its current mission.

After college (helping students establish meaningful lifework and be socially responsible contributors to society)

Despite the fact that there is no clear indicator of the lasting impact our services have on the campus and surrounding community; without our services the university would not be equipped to administer research funding.

### Link to Scoring Rubric

**2.4 Alignment with Shared Strategic Commitments**

How does this service contribute to or align with any of the eight Shared Strategic Commitments (SSC) listed below?

<table>
<thead>
<tr>
<th>SSC</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reinforce academic quality through open-minded inquiry, innovative teaching, engaged learning, and distinguished scholarship</td>
<td>ORSP is 100% aligned and directly connected with this SCC. Our offices provide direct support and service to PIs engaged in sponsored research activities. Research is the foundation for the innovation and it is important that we tackle the management side of research so that PIs can fully commit to their academic activities and supplement them with their research.</td>
</tr>
<tr>
<td>Enhance our inclusive campus, responding to the backgrounds and interests of our diverse community and promoting their academic, professional and personal development</td>
<td>ORSP is 100% aligned and directly connected with this SCC. Our office contributes to this SCC by assisting PIs who secure service learning oriented grants. The Hayward community stands to gain from the various types of funding CSUEB secures. Our primary sponsors, U.S. Department of Education &amp; National Science Foundation, have awarded many grants to our institution. A number of these grants have activities tied to directly providing aid to the surrounding community.</td>
</tr>
<tr>
<td>Serve students first, by expanding access and enhancing each student’s educational experience and prospects for success as a graduate and life-long learner</td>
<td>Directly, our office administers over 50 student research grants each year. Indirectly, students benefit from our office because they are often the recipients of grant funds obtained by PIs or work for PIs on grant-related research.</td>
</tr>
<tr>
<td>Foster a vibrant community through enriched student services and student life that support student engagement and learning</td>
<td>Directly, ORSP sponsors events such as the Week of Scholarship. Indirectly, students benefit from our office because they are often the recipients of grant funds obtained by PIs.</td>
</tr>
<tr>
<td>Contribute to a sustainable planet through our academic programs, university operations, and individual behavior</td>
<td>ORSP is 100% aligned and directly connected with this SCC. The services our office provides allow for CSUEB to administer grants related to this SCC along with providing support to further the university’s mission by working to increase the number of grants in this area.</td>
</tr>
<tr>
<td>Continuously improve our efficiency, transparency, and accountability while practicing mutual respect, responsiveness, and collaboration across the University</td>
<td>ORSP engages in this SSC during its day to day operations. The office is currently configured to work with several campus departments to meet the needs of PIs and students. These departments include Financial Aid, ARAMARK, Fiscal Services, Procurement, Duplicating, University Advancement, etc. Furthermore, our office works with multiple Federal, State, Local agencies and Non-Profits. In order to maintain good relationships with these agencies we must be efficient, transparent and accountable.</td>
</tr>
<tr>
<td>Support the civic, cultural, and economic life of all communities in the regions we serve through partnerships that promote education and social responsibility</td>
<td>ORSP engages in this SSC. Our office has various grants engaged in these activities. The work of ORSP facilitates service-learning projects in Hayward, teacher education projects throughout Alameda County, and a variety of other activities.</td>
</tr>
<tr>
<td>Demonstrate our continuing record of leadership and innovation in higher education, focused on 21st century skills,</td>
<td>ORSP is 100% aligned and directly connected with this SCC. Our office contributes to this SSC by assisting PIs who secure service learning oriented grants. A number of these grants...</td>
</tr>
</tbody>
</table>
including science, technology, engineering, and mathematics (STEM) have activities tied to STEM.

2.5 How might the demand for this service change over the next five years? (Please choose one category below).

Likely to increase

Provide a rationale for your choice (assumptions, impact of new policy, etc.) in <120 words.

Research activity will increase as the university continues to fulfill its mission of better serving the students and the community. As more new faculty are hired they will want to engage in research, which will directly impact ORSP. An increase in research activity is expected to generate more grant revenue, and ORSP will be responsible for administering these funds. ORSP also anticipate that as funding activities increase, the university will be able to establish more centers and institutes.

5. Quality of Service

3.1 Do you assess the quality of the service you provide?

Yes

If “Yes”, what benchmarks, best practices or measures of success, either internal or external, do you use to measure service quality (e.g., timeliness, accuracy, adequacy, meeting deadlines, satisfactory completion of assignment, etc.)? Please describe in <120 words. If no, please explain.

Number of direct reports, number of PIs serviced, amount of funding awarded per year, number of awards received, number of proposals submitted, number of awards closed out, timeliness, accuracy, number of deadlines met vs not met, are all key areas for assessing the quality of our services.

3.2 During the last three years, have you adopted any measures to improve the quality of this service? Please describe in <120 words.

Yes. We have incorporated pre and post-award management into one office. We've merged the accounting systems of the foundation with the university and adopted university policies and procedures for procurement. Each month all PIs now receive financial statements and projections.

3.3 What idea(s) do you have for improving the quality of this service within existing resources (e.g. development of benchmarks, surveys, feedback, etc.)? Please describe your plan(s) in < 120 words.

Providing more training to support staff. Developing specialized areas of expertise within the department. Areas include proposal development, subrecipient monitoring, programmatic and financial reporting, research misconduct, IRB/IACUC, clinical trials, etc. We would also like to work with faculty to alert them to more funding opportunities and work with lobbyists/politicians to encourage moving the CSUEB research agenda forward.

3.4 What ideas do you have for improving the quality of the service if additional resources were provided. Please describe your idea(s) in <120 words.
Utilizing more robust systems to help with the pre/post-award administration and compliance-related issues. This includes proposal submission systems, compliance monitoring systems, improved financial reporting systems, in-kind work/contributions, and a system that tracks faculty effort on each grant. Developing a website that meets the needs of the PIs as well as others who need information on policies, grant opportunities, and how to get help in writing a grant.

| 3.5 | Do you use any formal or informal process to assess the level of satisfaction of the service users? | Yes |
|     | If yes, describe the process and most recent results in <120 words. If no, please explain. | Informal: We rely on email responses regarding our services, along with personal feedback from the various stakeholders involved in our day to day operations. Currently focus groups are being conducted to gauge effectiveness of services. In 2010 the university commissioned an outside consultant to review research procedures; some changes to processes have resulted from that report. |

| 3.6 | The university recently conducted a customer satisfaction survey for some services (results for this service are attached, if applicable). Do you have any comment or response to the results? Please describe in <120 words. | Unable to access survey. |

| 3.7 | Do you have any formal or informal guidelines for personnel in your department regarding how to treat/interact with receivers of this service? | Yes |
|     | If yes, please describe in <120 words. If no, please explain. | Staff position descriptions are constantly reviewed to ensure that each staff member is aware of their obligation to ORSP customers. Staff evaluation are rigorously performed to ensure that those responsible for pre and post award are meeting the needs of PIs, auditors, external audiences and others. |

| 3.8 | Does your service have annual goals (targets) of achievement regarding the quality of the service provided? | Yes |
|     | If yes, describe the annual quality goals (targets) and indicate if the service achieved those goals (targets). Please provide evidence, if possible, in <120 words. If no, please explain. | Each month we discuss the goals our office. For 2013-14 our goals area to assist with the effective implementation of the Hayward Promise Neighborhood grant, to review and clean-up older grants that are no longer active, to provide more training to possible PIs regarding the availability of grant opportunities, to assist with the process of hiring a new AVP of Research, and to make sure the office is adequately staffed to respond to the changes made university-wide to purchasing procedures. |

| 3.9 | Does your service have annual goals (targets) of achievement regarding the quantity of service provided? | Yes |
If yes, describe the annual **quantity** goals (targets) and indicate if the service achieved those goals (targets). Please provide evidence, if possible, in <120 words. If no, please explain.

The Provost has stated that he would like to see grant activity double in the next 3 to 5 years. The office has already increased the amount of funding coming in, but to maintain this pace we will need to have more grants written.

6. Efficiency of Service (cost effectiveness)

4.1 Using the spreadsheet provided for all employees in your department, please distribute salaries of individuals across all services provided to reach an educated or reasonable estimate of the cost of providing the service.

500000

Attach your allocated spreadsheet here.

4.2 Using the spreadsheet provided, please distribute your department’s annual operating expenses across all services provided to reach an educated or reasonable estimate of the cost of providing the service.

687960

Attach your allocated spreadsheet here.

4.3 Using the spreadsheet provided, please distribute the square footage of work space across all services provided to reach an educated or reasonable estimate of the use of this resource.

1855

Attach your allocated spreadsheet here.

4.4 During the last three years, have you adopted any measures to improve the **efficiency** (cost effectiveness) of providing this service (e.g. reducing salary costs, operating expenses or use of space, or increased output without increasing cost. Etc.)?

Yes

If yes, please describe the measures in <120 words. If this is a new service introduced over the past three years, please indicate. If no, please explain.

Re-negotiated the Indirect Cost Rate agreement with the Department of Health and Human Services. The new rate allows us to recover cost using the Modified Total Direct cost method versus only allowing us to recover cost on salary, wages and fringe benefits only. We have consolidated pre-and post-award services under one umbrella.

4.5 What idea(s) do you have for improving the **efficiency** (cost effectiveness) of this service within existing resources (e.g. restructuring, merging, outsourcing, ways to cut costs, technology, etc.)? Please describe those ideas in <120 words.

We would like to have a new automated system to track grant activity. We do not envision merging, outsourcing or restructuring at this time.
4.6 What idea(s) do you have for improving the efficiency (cost effectiveness) of the service if additional resources were provided. Please describe your idea(s) in <120 words.

Additional resources would permit us to streamline our day to day operations. Additional ideas include: A dedicated H.R. officer would help us more quickly hire and train staff and students on grants. A dedicated individual with expertise in IT would help bring up a comprehensive database. One procurement officer assigned to grants and contracts would be helpful.

4.7 Do you have any plan(s) to improve the efficiency (cost effectiveness) of this service in the next 1-2 years (e.g. reducing costs, increasing productivity, etc.)? Yes

If yes, please specify whether these plan(s) involve reducing salary costs, operating expenses and/or use of space. Please describe your plan(s) in <120 words. If no, please explain.

We are currently meeting with staff to redistribute some of our activities. We cannot afford at this time to reduce staff or relinquish space.

4.8 Please describe the estimated output for this service for fiscal year 2011-12, quantify if possible (e.g. volume, service tickets resolved, people serviced, appointments, etc.) in <120 words.

It is anticipated that ORSP funding will increase next year by approximately $4M. This means ORSP annual funding will increase from roughly $11M to $15M.

7. Other

5.1 Are you aware of services similar to this one that are being provided by another department at CSU East Bay? Yes

If yes, please provide a list of those departments. How are the services described here similar or different? Please describe in <60 words.

University Advancement Office. Their office works parallel with our office with regards to securing private grants. However, they are not responsible for tracking expenditures, making sure reports are delivered to funding agencies in a timely manner, nor ensuing compliance. Post-award resides in ORSP.

5.2 Is there anything unique or distinctive about your service? Please describe what is unique or distinctive in <120 words.

Yes. Our office is highly engaged in deadline driven activities and we are required to be flexible because we must interact with various federal, state and local agencies. We also are required monitor Centers and Institutes. We are required to monitor and
engage in reporting activities on behalf of the Foundation Inc. while providing a variety of services to PIs engaged in various pre-award and post-award activities. Research Administration is key to any institution successfully managing grants and our office houses all Research Administrators at CSUEB.

**Link to Scoring Rubric**

5.3 Are there any additional things about this service that you would like the task group to know? Please describe/explain in <250 words.

Our office currently consists of 1 Director, 1 Office Manager, 3 full time analysts and 1 Purchasing Assistant. Grant activity averages roughly $11M per year. We have limited systems in place, but managing these grants for the most part is fine. To increase research activities at this institution ORSP will need more Research Administrators along with better compliance monitoring systems.