

RESEARCH AND SPONSORED
PROGRAMS



STRATEGIC PLAN

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DIRECTIONS, GOALS AND OUTCOMES

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STRATEGIC PLAN

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EXECUTIVE SUMMARY

CSU Channel Islands opened to students a year ago. Since that time its first president has been inaugurated, a first wave of faculty and staff hired, curriculum written, initial accreditation process started, students admitted and their first year completed, governance structures and provisional policies established, classrooms and laboratories readied and the first strategic plan finished. This having been said, the CSU system and the fledgling campus are now facing the worst budget crisis in 12 years. Faculty development and travel funds are being slashed, support structures cut, release time endangered. At the same time the demands on faculty to reach out to the community are increasing and the pressure to research and publish is ubiquitous and omnipresent.

The Office of Research and Sponsored Programs is being proposed as a way to increase resources for faculty and staff development, to support faculty's research and publishing agendas, to provide release time for their scholarly and community activities, to raise the visibility of the University as a community partner and above all to strengthen the quality of teaching, learning outcomes and assessment through the use of curriculum and instruction grants.

The office lays out an ambitious but realistic plan and timeline towards self-sufficiency within five years. The office proposes leveraging some existing strengths by building on basic mission tenets and leveraging an existing partnership to build resources and capacity. Finally, the budget projection strives for a self-sufficient operation in five years while returning a pro-rated portion to academic affairs, student affairs, administration, and participating departments over time.

Research and Sponsored Projects Mission

UNIVERSITY MISSION: PLACING STUDENTS AT THE CENTER OF THE EDUCATIONAL EXPERIENCE, CALIFORNIA STATE UNIVERSITY CHANNEL ISLANDS PROVIDES UNDERGRADUATE AND GRADUATE EDUCATION THAT FACILITATES LEARNING WITHIN AND ACROSS DISCIPLINES THROUGH INTEGRATIVE APPROACHES, EMPHASIZES EXPERIENTIAL AND SERVICE LEARNING, AND GRADUATES STUDENTS WITH MULTICULTURAL AND INTERNATIONAL PERSPECTIVE.

The mission of Research and Sponsored Projects is consistent with the University mission, will be elaborated by its stakeholders, and creates a self-supporting research and sponsored programs capacity within CSUCI that facilitates faculty development, student learning, and community outreach. The office seeks to meet the present needs of the University and to prepare for future needs by securing external funds that will move the institution towards its goals.

GOALS

1. Build an infrastructure for supporting a fully functional grants and sponsored projects office including oversight on matching and in-kind contributions, budgets, campus approval processes and other pre-award services and activities.
2. Further the goals of the institution through grants, projects, research and programs funded by sources outside of the institution.
3. Promote an environment supportive of developing and sustaining faculty interest and involvement in grant proposal preparation, submission, acquisition and management.
4. Protect the integrity of the institution through policies, procedures and communication with funding sources.
5. Ensure the integrity of sponsored project funds, compliance with funders' rules, regulations, and meeting ethical and legal requirements.
6. Create a financially stable and prosperous unit which collaborates actively with faculty development, academic affairs resource management office and extended education.

Goal #1 Build an infrastructure for an Office of Research and Sponsored Programs

Goal #1 Subgoals and Actions:

- 1.1 Staff: Acquire appropriate professional-level and support staff to accomplish goals.
 - 1.1.1 Create organizational structure that leads to systematic growth.
 - 1.1.2 Write job descriptions that delineate specific job requirements, responsibilities, and expectations.
- 1.2 Space: Dedicate office space to the program.
 - 1.2.1 Create a strategic plan for developing CSUCI's research and sponsored programs capacity based on a questionnaire sent to all faculty and administrators.
 - 1.2.2 Schedule strategic planning meeting among a select group of faculty and administrators. Emphasize program will be constrained by self-support assumption.
- 1.3 Grants System: Create a computerized contact and monitoring sources system.
 - 1.3.1. Design and implement an adequate preproposal grant seeking administration process.

- 1.4 Policies and Procedures: Develop in line with Title 45 Code of Federal Regulations, Section 46, protection of human subjects involved in research, development, and related activities, IRB protocols and a board instituted.
 - 1.4.1 Maintain assurances, certifications, and research compliance inventories.
 - 1.4.2 Institutionalize misconduct policies and procedures.
 - 1.4.3 Set up procedures for tracking proposals, sign-off, submission, and follow-up.
 - 1.4.4 Ensure compliance with EO 753 and 168 with reference to the above plus cost sharing and IDC.

Goal #1 Outcomes

1. Professional staff will be hired and specific responsibilities identified and assigned (see organizational chart, appendix A).
2. Appropriate space designated for the operation of a CSUCI Office of Research and Sponsored Programs will be put in place.
3. Questionnaire analysis and strategic planning workshop conducted
4. Systems supporting tracking, sign-off, submission and follow-up created.
5. Policies and procedures designed and implemented.

Goal #2: Further the goals of the institution through grants, projects, research and programs funded by sources outside of the institution.

Goal #2 Subgoals and Actions:

- 2.1 Develop an inventory and system for contacting funding sources
- 2.2 Set up a computerized system to record, store, update linkages, contacts, etc.
 - 2.2.1 Develop standardized email letters for enrollment on mailing lists, receiving basic information, sample lists of questions to ask funders.
 - 2.2.2 Implement an Internet-based on-going notification system, e.g., SPIN, Grant Select, etc.
 - 2.2.3 Develop a Foundation and corporate notification system and a strategy for contacting likely public and private funding sources personally. Cooperate with CSUCI Development Office.

Goal #2 Outcomes:

1. A computerized data base and automatic faculty notification and follow-up system in place.
2. Technical assistance to faculty on proposals that match funding goals provided, some assistance in proposal preparation (budget) and control over the campus approval process implemented.

Goal #3 Promote an environment supportive of developing and sustaining faculty interest and involvement in grant proposal preparation, submission, acquisition and management.

Goal #3 Subgoals and Actions:

- 3.1 Develop a faculty recognition program.
 - 3.1.1. Link with public relations for press releases.
 - 3.1.2 Host a presidential reception for the year's grantees
 - 3.1.3 Incorporate grantsmanship into RTP document
 - 3.1.4 Build release time, equipment, travel and student assistants into grant budgets.
 - 3.1.5 Build departmental notification and incentives related to specific grants generated by the faculty.

Goal #3 Outcomes

- 1. Faculty recognition and incentive program in place.

Goal #4 Protect the integrity of the institution through policies, procedures and communication with funding sources.

Goal #4 Subgoals and Actions:

- 4.1 Develop and distribute grants office procedures to all faculty and staff reviewed by the Faculty Development Advisory Committee.
- 4.2 Disseminate emails, a manual, and a web site for a description of how the grants office works, its role, helpful checklists and worksheets.
- 4.3 Co-develop and offer a grantsmanship workshop emphasizing the basic steps and offering opportunity to further develop fundable ideas in follow-up workshops in conjunction with faculty development.
- 4.4 Co-develop budgets, review proposals and walk them through the levels of approval
- 4.5 Ascertain "boilerplate" assurances are on file and federal indirect cost rate negotiated/determined.
- 4.6 Construct flow chart for human subjects review, etc. and disseminate.

Goal #4 Outcomes

1. Grants office procedures and forms reviewed by FDAC. All relevant information on the website and in a manual in each department.
2. Web and email information posted on the Office of Research and Funded Projects that explains the role of the office and clearly delineates the kinds of assistance available, and a timeline emphasizing a proactive approach rather than last minute reactive response.
3. A workshop offered by the office of faculty development and office of grants and sponsored projects on different aspects of grantsmanship.
4. Budget review and support, matching and in-kind contributions certified, and budget approvals and timeline provided by the Office of Grants and Sponsored Programs.
5. Boilerplate federal assurances signed and on file.
6. Human subjects review flow chart disseminated and built into timeline on research and evaluation grants.

Goal #5 Ensure the integrity of sponsored project funds, compliance with funders' rules, regulations, and meeting of ethical and legal requirements.

Goal #5 Subgoals and Actions:

- 5.1 Develop basic policies needed for operation of research and sponsored programs and obtain faculty approval
 - 5.1.1 Campus routing for approvals
 - 5.1.2 Misconduct in research, lobbying, conflict of interest, human subjects
 - 5.1.3 Cost sharing
 - 5.1.4 Intellectual property
- 5.2.1 Develop an Institutional Review Board

Goal #5 Outcomes

1. Basic set of policies and procedures approved
2. Institutional Review Board constituted with authority to expedite and exempt projects from review
 - a. Provisions for all five major categories clearly described in manual
 - b. Multiple-project assurance code from DHHS obtained

Goal #6 Create a financially stable and prosperous unit which collaborates actively with faculty development, academic affairs finance and administration, and extended education.

Goal #6 Subgoals and Actions:

6.1 Resources: Resources necessary for the stable growth of the office of grants and sponsored programs will initially be funded partially by the state. If indirect costs are assigned wholly to the unit revenue produced by IDC will quickly support the office as shown in Attachment B

6.1.1 Significant State support at initial stages of development should not be expected.

6.1.1.1 Other funding sources from State (Tobacco Tax and contracts, etc.) and federal (FIPSE, NSF, etc.) programs should be pursued to help support new program development.

6.1.2 Post award activities are significant and will require a staff person with budget expertise half-time, perhaps located in Finance who can oversee:

6.1.2.1 Budget development, coding, preparation of chartfield requests

6.1.2.2 Oversight of contract and grant cost allocation systems

6.1.2.3 Preparation of expenditure pre-audit and coding of expenditures documents

6.1.2.4 Overseeing of submissions of programmatic and fiscal information i.e. invoicing, fiscal reporting, drawdown

6.1.2.5 Forecasting and budget planning

6.1.2.6 Development of post award financial management and accounting functions

6.1.2.7 Vendor selection, commitment documents, authorizing contracts, creating of filing and retrieval systems and related data bases for vendor payment documents and contracts.

6.1.3 Reserve account: Create a reserve account amounting to 15% of the operating budget. This fund should be used to help subsidize general operations during periods of unexpected revenue declines.

6.1.4 Budget: Prepare both an annual and running five-year budget every fiscal year.

Goal #6 Outcomes

1. Appropriate resources gathered in sufficient quantity to support the effort to meet strategic goals for the office.
2. A reserve account created over a ten-year period amounting to at least 15% of the annual operating budget.
3. Annual and five-year budgets created/updated each year in conjunction with the university budget process (see Attachment B).

BUDGET NARRATIVE

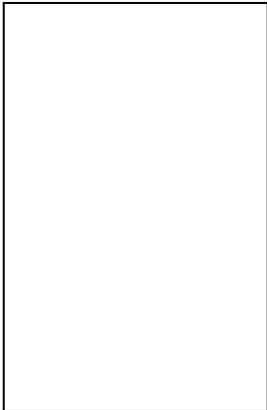
The attached five-year budget projection represents a steady growth model requiring minimal start-up funding. Obviously, projecting revenue into the future for programs that have yet to be created requires more than a little guesswork. Nevertheless, a continued revenue stream for the next three years on several contracts already in place makes the projections more realistic.

It should be noted that these figures assume increasing staffing and expense levels. Additionally, the indirect cost (IDC) estimates are conservative. In practice these numbers will need to be adjusted as specific programs are developed with unique overhead requirements, e.g. service learning grants rarely generate IDC. Nevertheless, this initial IDC plan provides for a steady stream of return on investment to, the general fund of CSUCI, and Academic Affairs.

CONCLUSION

Overall, this is an optimistic plan, tempered by realism. It provides a general direction for the Office of Grants and Sponsored Programs in the initial years of its development that will lead to long-term financial stability, profiting the university as a whole. Nevertheless, the contribution of a Grants and Sponsored Programs unit to CSUCI should not be reduced to a simple economic return-on-investment calculation. The benefits to faculty: recruiting and retaining quality faculty; encouraging currency in their fields (particularly science); providing opportunities to collaborate with one another; creates release time, equipment, travel and student assistants and finally, offering recognition and advancement. The benefits to the students include increased employment and research assistant opportunities, service learning experiences and improved curriculum and assessment making for better academic programs. The University's role as a responsible steward leveraging tax dollars to acquire (and share) more resources and opportunities certainly improves its image in CSU and in the community. Finally, the divisions and departments on campus benefit from the IDC over time.

**Research and Sponsored Programs
Staffing Plan**



Business/Arts/Humanities
(program manager,
department assistant)

Coordination/planning

Science/Math/IT
(program manager,
department assistant)

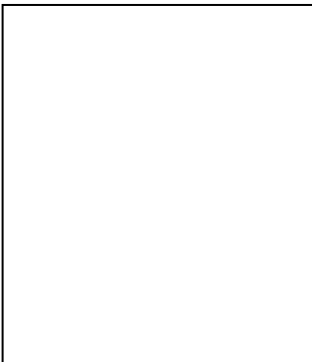
Coordination/planning

**Social Sciences
Service Learning
Programs**
(program manager,
department assistant)

Coordination/planning

Budget
(2 department
assistants)

1.Finance/admin.
2.Academ. Affrs.



IRB

**Faculty
Administrators
Community
Research Professionals.**

