

Starting (or Restarting) an Office of Sponsored Programs

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Overview of Session

- Brief overview of models of sponsored programs offices
- Understanding context-factors affecting SPO's function and activities
- Where to begin-inventory and assessment
- Planning for the future and making the case
- Q & A and Discussion

Presenters

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History of Higher Ed in US

- Post-World War II - 1970's
 - New emphasis on research as a national security issue: Creation of public agencies with single or major mission to provide support for research and training
 - Public teachers colleges expand to become comprehensive institutions, creation of public community colleges, creation of new services and resources within institutions (RA Offices)
 - Surge in enrollment and creation of new institutions
- 1980's - 1990's
 - Conversion of public colleges to universities
 - Enrollment stabilizes
 - Expansion of research and public service activities, fund raising and grant-seeking activities, tech transfer, creation of new services and resources within institutions (SPA Offices)

Types of Institutions

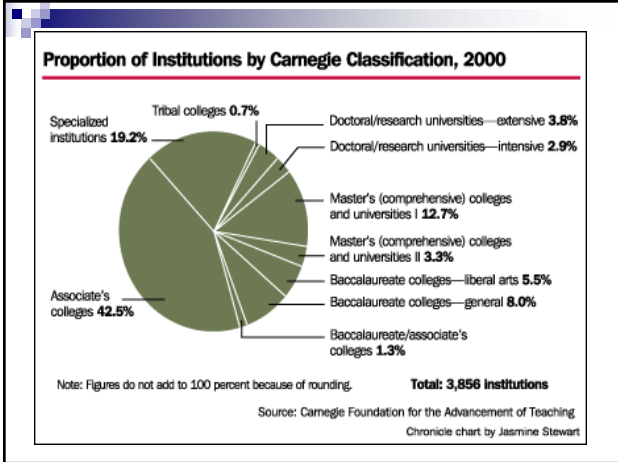
Carnegie Classifications, 1994 (1970)

Res I	Research universities I	AA	Associate's colleges
Res II	Research universities II	Faith	Theological seminaries and other specialized faith-based institutions
Doc I	Doctoral universities I	Med	Medical schools and medical centers
Doc II	Doctoral universities II	Health	Other separate health-profession schools
DR Ext	Doctoral/research universities-extensive	Engr	Schools of engineering and technology
DR Int	Doctoral/research universities-intensive	Bus	Schools of business and management
MA I	Master's (comprehensive) colleges and universities I	Art	Schools of art, music, and design
MA II	Master's (comprehensive) colleges and universities II	Law	Schools of law
BA I	Baccalaureate (liberal arts) colleges I (called baccalaureate colleges-liberal arts in 2000 classification)	Teach	Teachers colleges
BA II	Baccalaureate (liberal arts) colleges II (called baccalaureate colleges-general in 2000 classification)	Other	Other specialized institutions
BA LA	Baccalaureate colleges-liberal arts	Tribal	Tribal colleges
BA Gen	Baccalaureate colleges-general		
BA AA	Baccalaureate-associate's colleges		

Types of Institutions

Carnegie Classifications, 2000

- Doctorate-granting Universities
- Master's Colleges and Universities
- Baccalaureate Colleges
- Associates Colleges
- Special Focus Institutions
- Tribal Colleges



Types of RA/SPA Organization

Type 1: Separate Pre- and Post-Award Offices
Pre-Award reports: Chief Research or Academic Officer
Post Award reports to CFO/CBO

Type 2: Unified Pre- and Post-Award Offices
Reports to Chief Research Officer/Chief Academic Officer

Type 3: Unified Pre- and Post-Award Offices
Reports to CFO/CBO

Type 4: Unified Pre- and Post-Award Offices
Pre-Award reports to Chief Research or Academic Officer
Post Award reports to CFO/CBO

Constituent Needs

- Institution
 - Research Funding and Compliance Support
 - Program Funding and Compliance Support
 - Academic Program Development
 - Student Support and Services (Undergraduate)
 - Community/Public Service
 - Training Support Funding and Compliance Support
 - Graduate, Professional
 - Technical

■ Funding agency needs and expectations

- Public policy, philosophical or financial directive driven mission and major goals
 - May or may not depend on the type of "agency"
 - Government agencies, foundations, public charities, corporations
- Agency leadership defined specific research, education and service priorities
- Regulations
 - Financial compliance
 - Non-financial compliance

■ Local Constituency needs and expectations

- Institutional Constituencies
 - External: General public, business, health and community service organizations, local education agencies, other higher education institutions
 - Internal: Faculty, Deans, Vice Presidents and Directors; alumni; students and prospective students
- RA/SPA Offices
 - Senior Administration
 - Faculty and Directors

Essential Elements of RA/SPA

- Develop and Maintain Framework
 - Understand and Respond to Environments
 - Regulatory, Legal, Institutional
 - Institutional Capacity Building
 - Offices, systems, controls, training, investments
- Pre-Award
 - Strategy Development, Project Development
 - Collection and Dissemination of Funding Opportunity Information
 - Sponsor, Submission and Review Process Knowledge-base
 - Proposal Development and Submission
 - Post-submission Communication and Negotiation

- **Post-Award**
 - Award Process, Requirements, Regulations
 - Project Management Support
 - Set-up, oversight, education, networking to/with other institutional offices: purchasing, financial management, personnel, facilities, inventory, records management
 - Reporting
 - Agency, institution, public
 - Close-out
 - Funder: financial and programmatic
 - Institutional: financial, personnel, facility, inventory
 - Intellectual property: Patents, copyrights
 - Audits
- **Public Trust**
 - Project/Personal Integrity
 - Responsible conduct of research, project & financial management
 - Intellectual Property and Tech Transfer

- ### Where to begin-Inventory
- Job description, office's mission & purpose—does it need to be updated?
 - Institutional documents—self-study, strategic plan, mission statement—where does SPO fit?
 - NCURA—other SPO websites—what are current and anticipated challenges and opportunities on the horizon?

- ### Next step--assessment
- “Assessment should be focused on answering questions, not on collecting data.”
-Dr. David Oehler, Director of Assessment, Information, and Analysis Northwest Missouri State University
- “Assessment is simply looking at what one does and how well one is doing it.”
-Peggy S. Lowry, Director, Office of Sponsored Programs and Research Compliance, Oregon State University
- “What's working? What needs work? How do you know?”
-Mimi Steadman, Director of Institutional Assessment, Daemen College

Benefits of Assessment

- To inventory what is working and what needs improvement
- To promote best use of your time and resources
- To be proactive—to ensure that the effectiveness of your office is being evaluated in a manner that is realistic and relevant
- To substantiate case for new resources or changes, where needed
- To be prepared—to provide helpful information to others, gain support
- To assist with succession planning

Assessment methods

- Focus Groups
- Advisory Groups
- Surveys
- Metrics
- Benchmarks
- Self-Audit
- Self-Study
- External Evaluation (NCURA Peer Review)
- Quality Improvement

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Effective strategies for growth

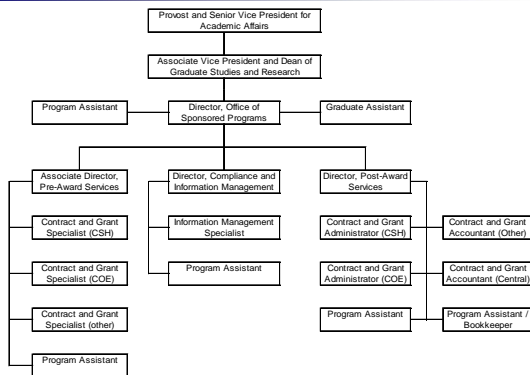
- Gain faculty/administrative/executive-level support and engage them in the process
- Document the case—provide comparisons to other SPOs—results of assessments (e.g. surveys)
- Align case with university's strategic goals
- Prioritize needs
- Demonstrate what can be
- Celebrate wins
- Continuous renewal--Revisit SPO planning documents to evaluate progress

Who do you need to be?

- Where are you now?
 - Productivity, Outcomes
 - Staff Responsibility-load
 - Support Systems and Resources
 - Satisfaction
- Options
 - Institutional support for growth of office
 - Institutional support for re-organization of office

Who do you want to be?

- What is your ideal?



Questions?

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Resources

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