Informed by your assessment activities, what changes have you made in your unit in the last three to five years? Describe the changes, the general results that prompted the changes, and the impact on your unit's clients/customers that you might attribute to these changes.

A significant drop in research awards following the end of the Federal stimulus program led OSP, with the leadership of the Office of the Vice President for Research, to determine that additional services would be necessary to prevent a continuing downward trend in research activity. Federal agencies and other grant making organizations have clearly communicated the need for collaborative, cross-disciplinary research projects.

Research development activities were expanded in both 2012-13 and 2013-14, involving more faculty members in a variety of networking and other events promoting increased collaboration and potentially an increase in sponsored research funding. In 2013-14, a partial FTE was reassigned to research development activities, which has allowed OSP to provide faculty and other researchers with more cross-disciplinary networking opportunities, educational offerings and assistance in identifying potential funding sources.

As a result, submission numbers have increased from the downturn experienced during FY 10-11 (693 submissions), improving to 754 during FY 12-13. Submissions for the first half of FY 13-14 are slightly lower than for the first half of the prior year but we believe that is partly due to a change in our routing and tracking system and we will see a further increase, or at least no significant decrease, by the end of the year. Further, in FY 2012-13 there were 206 research proposals with multiple PI/Co-PIs. During the first half of FY 2013-14 there were already 120 collaborative proposals with multiple PI/Co-PIs.

Award dollars received for Research, Instruction and Public Service have also increased significantly since FY 10-11, which had a total of $65.6 million. In FY 12-13, awards had increased to $69.9 and for the first half of FY 13-14, award dollars received totaled over $2 million more than during the same period of the prior year. This seemingly small increase is actually impressive when compared to the decline in the Federal Research and Development budget. Excluding stimulus funding (affecting primarily FY 2009 and 2010), the Federal R&D budget decreased from 2008 through 2013 by approximately 15%, with the majority of the decrease occurring after FY 2010. Also excluding stimulus funding, the University's Federal research expenditures increased from 2008 through 2013 by over 12%, with the majority of that increase occurring after FY 2010.

Mission / Purpose

The Office for Sponsored Programs includes Sponsored Programs Administration, Contract and Grant Accounting and Cost Analysis and Studies. Sponsored Programs Administration encourages research, and other sponsored activities, through support of faculty and university personnel in the pursuit and administration of externally funded grants and contracts, in compliance with requirements established by Federal and State laws, sponsor rules and regulations and University policies and procedures. Contract and Grant Accounting supports University of Alabama faculty, staff, and students involved in sponsored agreements in ensuring the University's financial transactions comply with fiscal and reporting requirements, as established by Federal and State law, agency regulations, and University policies and procedures. Cost Analysis & Studies supports the University and its sponsored activities through development and negotiation of the University's Facilities and Administrative (Indirect) Cost Rates. This office also provides oversight for the University's service centers and federal property.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans

OthOtcm 1: Increase participation in sponsored research

We will encourage Faculty to pursue and participate in externally sponsored research. Sponsored Project activity supports the Research mission of the University but also the instruction and public service missions through both direct funding and important ancillary benefits (e.g. tuition and salary for GRAs).

Connected Document

Sponsored Programs Assessment Timetable

Related Measures

M 1: Submission Numbers

Submission Numbers – Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, expenditures/participation in externally sponsored research.

Source of Evidence: Activity volume

Target:

> 5% increase in number of submissions.
Finding (2013-2014) - Target: Partially Met
A partial FTE was reassigned to research development activities from duties that are now being managed differently. This has allowed OSP to provide faculty and other researchers with more networking opportunities, educational offerings and assistance in securing proposal development assistance (e.g. editing services). As a result, submission numbers have increased from the downturn experienced during FY 10-11 (693 submissions), improving to 754 during FY 12-13. Submissions for the first half of FY 13-14 are slightly lower than for the first half of the prior year but we believe that is partly due to a change in our routing and tracking system and we will see a further increase, or at least no significant decrease, by the end of the year.

Related Action Plans (by Established cycle, then alpha):
Provide proposal development resources
Established in Cycle: 2012-2013
The Office for Sponsored Programs will continue to enhance its support of faculty during the proposal process in order to improv...

For full information, see the Details of Action Plans section of this report.

M 2: Award Dollars Received
Award Dollars Received - Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in externally sponsored research.

Source of Evidence: Activity volume

Target:
> 5% increase in award dollars received.

Finding (2013-2014) - Target: Met
Award dollars received for Research, Instruction and Public Service have increased significantly since FY 10-11, which had a total of $65.6 million. In FY 12-13 awards had increased to $69.9 and for the first half of FY 13-14, award dollars received totaled over $2 million more than during the same period of the prior year.

Related Action Plans (by Established cycle, then alpha):
Provide proposal development resources
Established in Cycle: 2012-2013
The Office for Sponsored Programs will continue to enhance its support of faculty during the proposal process in order to improv...

For full information, see the Details of Action Plans section of this report.

M 3: Pivot (COS) Usage
Pivot (formerly Community of Science) Usage - Increased facilitation, including communications regarding potential funding sources, and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in externally sponsored research.

Source of Evidence: Activity volume

Target:
Increase Pivot Usage

Finding (2013-2014) - Target: Met
During the first half of the previous fiscal year, Pivot usage reports indicated 573 visitors and 37 saved searches. During the same period of the current fiscal year, reports indicated 828 visitors and 97 saved searches.

Related Action Plans (by Established cycle, then alpha):
Provide proposal development resources
Established in Cycle: 2012-2013
The Office for Sponsored Programs will continue to enhance its support of faculty during the proposal process in order to improv...

For full information, see the Details of Action Plans section of this report.

M 4: Research collaboration
An increase in collaborative proposals may positively impact funding success rates as sponsors encourage interdisciplinary research.

Source of Evidence: Activity volume

Target:
The number and/or percentage of research proposals including multiple investigators and/or institutions will increase. Baseline for FY 2013 is 206 research proposals with multiple PIs. We have not yet determined a way to identify all proposals including collaboration with individuals outside the University (i.e. all proposed subrecipients and all proposals where UA would be a subrecipient).

Finding (2013-2014) - Target: Partially Met
In FY 2012-13 there were 206 research proposals with multiple PI/Co-PIs. During the first half of FY 2013-14 there were already 120 collaborative proposals with multiple PI/Co-PIs.

Related Action Plans (by Established cycle, then alpha):
Provide proposal development resources
Established in Cycle: 2012-2013
The Office for Sponsored Programs will continue to enhance its support of faculty during the proposal process in order to improv...

For full information, see the Details of Action Plans section of this report.

OthOtn 2: Adequate training/support for researchers and administrators
We will provide adequate training and support for Faculty and Staff responsible for the administration of sponsored projects to efficiently conduct sponsored activity in compliance with University and sponsor requirements.

Connected Document
**Sponsored Programs Assessment Timetable**

**Related Measures**

**M 4: Research collaboration**
An increase in collaborative proposals may positively impact funding success rates as sponsors encourage interdisciplinary research.

Source of Evidence: Activity volume

**Target:**
The number and/or percentage of research proposals including multiple investigators and/or institutions will increase.

**M 5: Attendance at training/educational offerings**
Attendance at OSP/CGA training sessions/educational offerings.

Source of Evidence: Administrative measure - other

**Target:**
Increase total attendance.

**M 6: Research Administration Support Group quiz**
Research Administration Support Group quiz scores, indicating how confident these individuals are with their understanding of policies and procedures related to sponsored project administration and the assistance they receive from OSP/CGA.

Source of Evidence: Evaluations

**Target:**
Increase scores.

**Related Action Plans (by Established cycle, then alpha):**

**Improve appeal and content of offerings**
*Established in Cycle: 2012-2013*
Previous attempts to solicit ideas from the group/audience have had very little success. We will analyze the results of the i...

**Revise survey**
*Established in Cycle: 2012-2013*
Ensure the scale (1 = strongly disagree, 10 = strongly agree) and the option of responding NA when the topic is not relevant are...

For full information, see the Details of Action Plans section of this report.

**OthOtcm 3: Provide timely, effective service to Faculty and Staff**
We will implement and maintain processes that provide for timely, accurate and effective service to Faculty and Staff.

**Connected Document**
*Sponsored Programs Assessment Timetable*

**Related Measures**

**M 6: Research Administration Support Group quiz**
Research Administration Support Group quiz scores, indicating how confident these individuals are with their understanding of policies and procedures related to sponsored project administration and the assistance they receive from OSP/CGA.

Source of Evidence: Evaluations

**Target:**
Increase scores.

**M 7: Frequency of Late Cost Transfers**
Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner).

Source of Evidence: Existing data

**Target:**
Maintain the recent (2012-13) reductions in late cost transfers

**M 8: Percentage unspent budget balance**
Percentage of unspent balance to total budget at end of grant.

Source of Evidence: Existing data

**Target:**
The average percentage of any unspent balance at the end of projects will be reduced.

**OthOtcm 4: Sponsored funding will be used appropriately**
We will support and encourage the use of sponsored funding in an appropriate, timely manner, preventing loss of funds through audit findings and unspent balances.

**Connected Document**
*Sponsored Programs Assessment Timetable*

**Related Measures**

**M 7: Frequency of Late Cost Transfers**
Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner).
Source of Evidence: Existing data

**Target:**
Maintain the recent (2012-13) reductions in late cost transfers

**M 8: Percentage unspent budget balance**
Percentage of unspent balance to total budget at end of grant.

Source of Evidence: Existing data

**Target:**
The average percentage of any unspent balance at the end of projects will be reduced.

**M 9: Spending Rates**
Spending Rates – Sponsored agreements are of a limited duration plus sponsors use spending rates as an indication that work is progressing as planned.

Source of Evidence: Existing data

**Target:**
The average percentage of funds spent will not lag behind the average percentage of completion for projects.

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**Details of Action Plans for This Cycle (by Established cycle, then alpha)**

### Improve appeal and content of offerings

Previous attempts to solicit ideas from the group/audience have had very little success. We will analyze the results of the individual survey questions and the change in the composition of the attendees. We will then solicit more specific feedback, particularly from individuals targeted based on their experience, job duties and/or change in attendance.

**Established in Cycle:** 2012-2013
**Implementation Status:** Planned
**Priority:** High

**Relationships (Measure | Outcome/Objective):**
- **Measure:** Research Administration Support Group quiz
- **Outcome/Objective:** Adequate training/support for researchers and administrators

**Projected Completion Date:** 11/2013
**Responsible Person/Group:** Angie Shotts, Erica Gambrell, Cindy Hope
**Additional Resources:** NA

### Provide proposal development resources

The Office for Sponsored Programs will continue to enhance its support of faculty during the proposal process in order to improve the quality of the proposals submitted.

**Established in Cycle:** 2012-2013
**Implementation Status:** Planned
**Priority:** High

**Relationships (Measure | Outcome/Objective):**
- **Measure:** Award Dollars Received
- **Outcome/Objective:** Increase participation in sponsored research
- **Measure:** Pivot (COS) Usage
- **Outcome/Objective:** Increase participation in sponsored research
- **Measure:** Research collaboration
- **Outcome/Objective:** Increase participation in sponsored research
- **Measure:** Submission Numbers
- **Outcome/Objective:** Increase participation in sponsored research

**Implementation Description:** A partial FTE will be reassigned to research development activities from duties that can now be managed differently. This will allow OSP to provide faculty and other researchers with more networking opportunities, educational offerings and assistance in securing proposal development assistance (e.g. editing services).

**Responsible Person/Group:** Cynthia Hope, Angie Shotts and Erica Gambrell
**Additional Resources:** A small amount will be needed to pay for editing services and the funds are already available within the OR/OSP budget. Otherwise, only a reassignment of duties among existing staff.

### Revise survey

Ensure the scale (1 = strongly disagree, 10 = strongly agree) and the option of responding NA when the topic is not relevant are both obvious. Present two questions related to provision of service (one for OSP and one for C&GA) rather than the current, combined question, as many departmental administrators only work with one of the offices on a regular basis.

**Established in Cycle:** 2012-2013
**Implementation Status:** Planned
**Priority:** High

**Relationships (Measure | Outcome/Objective):**
- **Measure:** Research Administration Support Group quiz
- **Outcome/Objective:** Adequate training/support for researchers and administrators

**Projected Completion Date:** 09/2013
**Responsible Person/Group:** Angie Shotts, Erica Gambrell, Cindy Hope
**Additional Resources:** NA
Mission / Purpose
To encourage Research, Instruction and Public Service through support of faculty and other University personnel in the pursuit and administration of externally funded grants and contracts, in compliance with the requirements established by Federal and State laws, sponsor rules and regulations and University policies and procedures.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans
OthOtcm 1: Increase participation in sponsored research
We will encourage Faculty to pursue and participate in externally sponsored research. Sponsored Project activity supports the Research mission of the University but also the instruction and public service missions through both direct funding and important ancillary benefits (e.g. tuition and salary for GRAs).

Related Documents
Sponsored Programs Assessment Timetable

Related Measures
M 1: Submission Numbers
Submission Numbers – Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, expenditures/participation in externally sponsored research.
Source of Evidence: Activity volume
Target: > 5% increase in number of submissions.
Finding (2012-2013) - Target: Partially Met
Results Summary:
As projected, total submissions for FY 11-12 reached a record high. The total of 792 was an increase of 14.3% over the previous fiscal year. As of 8/31/13, submissions are down compared the previous fiscal year by 8.7%, indicating that for FY 12-13, we will not have an increase of > 5%. Research submissions are down as of 8/31/13 by a smaller percentage, 3.4%.

Interpretations and Conclusions:
While not meeting our target of a >5% increase over FY 11-12 in the number of submissions, current fiscal year submissions numbers will likely be higher than in any year other than FY 11-12. Possible reasons for the decrease in the current fiscal year are:
- the unusually large number of submissions during the last year, particularly during the last quarter
- the pessimistic short-term and mid-term outlook for sponsored funding, particularly from our primary source, federal agencies
- factors internal to the University both within and not within the control of the Office for Research.
While the variable timing of awards makes it hard to correlate success with an increased number of submissions, the fact that Awards are also down as of 8/31/13 compared to the same period last year, indicates that we need to continue our efforts to facilitate finding funding opportunities and proposal development. As our efforts over the past year have been focused on research proposal development, it may be that the smaller decrease in research submissions is partially due to our efforts.

Related Action Plans (by Established cycle, then alpha):
Provide educational opportunities for faculty on a regular, routine basis
Established in Cycle: 2011-2012
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decrease...

For full information, see the Details of Action Plans section of this report.

M 2: Award Dollars Received
Award Dollars Received - Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in externally sponsored research.
Source of Evidence: Activity volume
Target: > 5% increase in award dollars received.
Finding (2012-2013) - Target: Partially Met
Results Summary:
Award dollars did increase during FY 12 by more than 5%. Based on 8/31/13 data, however, award dollars for FY 13 will be lower than during FY 12. Expenditures, particularly for Research, were also up during FY 12 but have been trending back down during FY 13.

Interpretations and Conclusions:
As at all Universities with a research mission, the majority of the University's external funding for sponsored projects originates with the federal government, particularly funds for research. Data collected and reported by the National Science Foundation indicate that expenditures for academic research peaked in 2011. While the University managed to sustain growth through its FY 12, it has not been able to overcome the significant decreases in federal funding that have taken place since the expiration of most stimulus funding. Further
federal budget issues, including sequestration, have made it impractical for research Universities to maintain (much less increase) their previous levels of sponsored project activity. The Office for Sponsored Programs will, however, continue to encourage submissions and facilitate proposal development in order to mitigate the effect of the reductions in the federal research budget.

**Related Action Plans (by Established cycle, then alpha):**

**Provide educational opportunities for faculty on a regular, routine basis**

*Established in Cycle:* 2011-2012

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreas...

**Provide proposal development resources**

*Established in Cycle:* 2012-2013

The Office for Sponsored Programs will continue to enhance its support of faculty during the proposal process in order to improv...

For full information, see the *Details of Action Plans* section of this report.

**M 3: Pivot (COS) Usage**

Pivot (formerly Community of Science) Usage - Increased facilitation, including communications regarding potential funding sources, and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in externally sponsored research.

Source of Evidence: Activity volume

**Target:**

Increase Pivot Usage

**Finding (2012-2013) - Target: Met**

Results Summary:
The number of visitors to UA's PIVOT site increased by over 45% during the current fiscal year. Further, from the beginning of the fiscal year through 8/31/13, 65 saved searches and 60 advanced searches were created. Advanced searches indicate usage by individuals searching for funding particular to their research interests.

Interpretations and Conclusions:
Additional efforts to provide information and training related to PIVOT's functionality as a useful tool for finding funding opportunities appear to have increased interest in PIVOT and use of its advanced functionality.

**Related Action Plans (by Established cycle, then alpha):**

**Provide educational opportunities for faculty on a regular, routine basis**

*Established in Cycle:* 2011-2012

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreas...

For full information, see the *Details of Action Plans* section of this report.

**OthOtcm 2: Adequate training/support for researchers and administrators**

We will provide adequate training and support for Faculty and Staff responsible for the administration of sponsored projects to efficiently conduct sponsored activity in compliance with University and sponsor requirements.

**Connected Document**

Sponsored Programs Assessment Timetable

**Related Measures**

**M 4: Research Administration Support Group quiz**

Research Administration Support Group quiz scores, indicating how confident these individuals are with their understanding of policies and procedures related to sponsored project administration and the assistance they receive from OSP/CGA.

Source of Evidence: Evaluations

**Target:**

Increase scores.

**Finding (2012-2013) - Target: Partially Met**

Results Summary:
Average scores related to confidence with research administration processes were higher at the end of the academic year than at the beginning but were slightly lower than at the end of the previous year. Average scores for questions related to the service provided by OSP and C&GA and for the effectiveness of the Lunch & Learn meetings also decreased but the mode for the responses to each of these questions was 10/10. For the year-end survey, the responses of 3 individuals were significantly lower than those of the other respondents. The total number of respondents for both the beginning and end of the year survey was lower than at the same time the previous year and the number of attendees at the last Lunch and Learn was significantly lower than at the same time last year.

Interpretations and Conclusions:
While training and other methods of distributing important information need to focus on topics receiving lower scores on the surveys and on recommendations from our audience, the response scale and some of the questions on the survey may be unclear. Fewer attendees and survey respondents indicate a need to reevaluate the offerings.

**Related Action Plans (by Established cycle, then alpha):**

**Provide educational opportunities for faculty on a regular, routine basis**

*Established in Cycle:* 2011-2012

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreas...

**Provide targeted costing and cost transfer training**

*Established in Cycle:* 2011-2012
While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transf...

**Improve appeal and content of offerings**  
*Established in Cycle: 2012-2013*  
Previous attempts to solicit ideas from the group/audience have had very little success. We will analyze the results of the i...

**Revise survey**  
*Established in Cycle: 2012-2013*  
Ensure the scale (1 = strongly disagree, 10 = strongly agree) and the option of responding NA when the topic is not relevant are...

For full information, see the Details of Action Plans section of this report.

**M 5: Attendance at training/educational offerings**  
Attendance at OSP/C&GA training sessions/educational offerings.  
Source of Evidence: Administrative measure - other  
**Target:**  
Increase total attendance.  

**Finding (2012-2013) - Target: Met**  
Results Summary:  
A total of 544 attendees participated in various training and educational opportunities provided or facilitated by OSP/C&GA from 9/1/12-8/31/13. This was a slight increase from the 525 participating in similar programs offered from 9/1/11-8/31/12. More significantly, the number of attendees participating in networking and other development offerings focused on faculty/researcher issues increased from 142 during the 9/1/11-8/31/12 period to 207 during the 9/1/12-8/31/13 period.  

Interpretations and Conclusions:  
Training/educational offerings on topics related to sponsored projects funding and administration continue to be appreciated. The additional efforts made by OSP to plan and announce well in advance the offerings of interest to faculty and other researchers appear to have had a positive impact on the numbers of participants attending networking and other research development type offerings.  

**Related Action Plans (by Established cycle, then alpha):**  
*Provide educational opportunities for faculty on a regular, routine basis*  
*Established in Cycle: 2011-2012*  
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreas...

*Provide targeted costing and cost transfer training*  
*Established in Cycle: 2011-2012*  
While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transf...

For full information, see the Details of Action Plans section of this report.

**OthOtcm 3: Provide timely, effective service to Faculty and Staff**  
We will implement and maintain processes that provide for timely, accurate and effective service to Faculty and Staff.  

**Connected Document**  
[Sponsored Programs Assessment Timetable](#)  

**Related Measures**

**M 4: Research Administration Support Group quiz**  
Research Administration Support Group quiz scores, indicating how confident these individuals are with their understanding of policies and procedures related to sponsored project administration and the assistance they receive from OSP/C&GA.  
Source of Evidence: Evaluations  
**Target:**  
Increase scores.  

**Finding (2012-2013) - Target: Partially Met**  
Results Summary:  
Average scores related to confidence with research administration processes were higher at the end of the academic year than at the beginning but were slightly lower than at the end of the previous year. Average scores for questions related to the service provided by OSP and C&GA and for the effectiveness of the Lunch & Learn meetings also decreased but the mode for the responses to each of these questions was 10/10. For the year-end survey, the responses of 3 individuals were significantly lower than those of the other respondents. The total number of respondents for both the beginning and end of the year survey was lower than at the same time the previous year and the number of attendees at the last Lunch and Learn was significantly lower than at the same time last year.  

Interpretations and Conclusions:  
While training and other methods of distributing important information need to focus on topics receiving lower scores on the surveys and on recommendations from our audience, the response scale and some of the questions on the survey may be unclear. Fewer attendees and survey respondents indicate a need to reevaluate the offerings.  

**Related Action Plans (by Established cycle, then alpha):**  
*Provide educational opportunities for faculty on a regular, routine basis*  
*Established in Cycle: 2011-2012*  
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreas...
Provide targeted costing and cost transfer training

 Established in Cycle: 2011-2012

While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transf...

For full information, see the Details of Action Plans section of this report.

M 7: Frequency of Late Cost Transfers

Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner).

Source of Evidence: Existing data

Target:
Fewer late cost transfers

Finding (2012-2013) - Target: Met

Results Summary:
There were fewer individual forms and fewer incidents/requests for late cost transfers in the current year than in the prior year. The number of incidents decreased by over 20%.

Interpretations and Conclusions:
Continued education for departmental administrators and more accessible financial information for faculty has decreased the need for late cost transfers, indicating that charges are more frequently applied correctly the first time and/or corrected in a timely manner.

Related Action Plans (by Established cycle, then alpha):

Provide educational opportunities for faculty on a regular, routine basis

Established in Cycle: 2011-2012

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreas...

Provide targeted costing and cost transfer training

Established in Cycle: 2011-2012

While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transf...

For full information, see the Details of Action Plans section of this report.

M 8: Percentage unspent budget balance

Percentage of unspent balance to total budget at end of grant.

Source of Evidence: Existing data

Target:
The average percentage of any unspent balance at the end of projects will be reduced.

Finding (2012-2013) - Target: Met

Results Summary:
The average balance remaining at 6/30/13 in accounts ending by 3/31/13 was 5.63%, which is significantly lower than at 6/30 of our benchmark year, FY11, when it was 8.33%. It is slightly higher than at the same time last fiscal year, when it was 4.12%.

Interpretations and Conclusions:
It appears that since the Research Dashboard has been in place, researchers and other project directors have utilized all but around 5% of the dollars awarded to fund their projects. While this indicates a very good utilization of award funding, as proposed and awarded budgets will never be perfect, C&GA should continue to emphasize the benefits of the Dashboard and other tools for monitoring budgets and expenditures.

Related Action Plans (by Established cycle, then alpha):

Provide educational opportunities for faculty on a regular, routine basis

Established in Cycle: 2011-2012

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreas...

For full information, see the Details of Action Plans section of this report.

OthOtm 4: Sponsored funding will be used appropriately

We will support and encourage the use of sponsored funding in an appropriate, timely manner, preventing loss of funds through audit findings and unspent balances.

Connected Document
Sponsored Programs Assessment Timetable

Related Measures

M 7: Frequency of Late Cost Transfers

Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner).

Source of Evidence: Existing data

Target:
Fewer late cost transfers

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Results Summary:
There were fewer individual forms and fewer incidents/requests for late cost transfers in the current year than in the prior year. The number of incidents decreased by over 20%.
Interpretations and Conclusions:
Continued education for departmental administrators and more accessible financial information for faculty has decreased the need for late cost transfers, indicating that charges are more frequently applied correctly the first time and/or corrected in a timely manner.

**Related Action Plans (by Established cycle, then alpha):**

**Provide educational opportunities for faculty on a regular, routine basis**  
*Established in Cycle: 2011-2012*
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

**Provide targeted costing and cost transfer training**  
*Established in Cycle: 2011-2012*
While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transf... 

For full information, see the *Details of Action Plans* section of this report.

**M 8: Percentage unspent budget balance**  
Percentage of unspent balance to total budget at end of grant.

**Source of Evidence:** Existing data

**Target:**  
The average percentage of any unspent balance at the end of projects will be reduced.

**Finding (2012-2013) - Target: Met**

**Results Summary:**  
The average balance remaining at 6/30/13 in accounts ending by 3/31/13 was 5.63%, which is significantly lower than at 6/30 of our benchmark year, FY11, when it was 8.33%. It is slightly higher than at the same time last fiscal year, when it was 4.12%.

**Interpretations and Conclusions:**  
It appears that since the Research Dashboard has been in place, researchers and other project directors have utilized all but around 5% of the dollars awarded to fund their projects. While this indicates a very good utilization of award funding, as proposed and awarded budgets will never be perfect, C&GA should continue to emphasize the benefits of the Dashboard and other tools for monitoring budgets and expenditures.

**Related Action Plans (by Established cycle, then alpha):**

**Provide educational opportunities for faculty on a regular, routine basis**  
*Established in Cycle: 2011-2012*
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

For full information, see the *Details of Action Plans* section of this report.

**M 9: Spending Rates**  
Spending Rates – Sponsored agreements are of a limited duration plus sponsors use spending rates as an indication that work is progressing as planned.

**Source of Evidence:** Existing data

**Target:**  
The average percentage of funds spent will not lag behind the average percentage of completion for projects.

**Finding (2012-2013) - Target: Met**

**Results Summary:**  
At 6/30/13, active projects had an average of 39.5% of funds remaining and an average of 33.4% time remaining, a difference of only 6.1 percentage points. Calculations used in the prior year included the projects ending between 3/31 and 6/30 but it was later determined that those will be included in measures of unspent balances and should not be included here. At 6/30/12, active projects had an average of 38.8% of funds remaining and and average of 31.9% time remaining, a difference of 6.9%.

**Interpretations and Conclusions:**  
As of 6/30/13, spending rates on active accounts had improved slightly over spending rates at the same time last year. As overspending would be even more problematic than underspending, maintaining fund balances that are only 4-8% greater than the balance of time remaining seems appropriate.

**Related Action Plans (by Established cycle, then alpha):**

**Provide educational opportunities for faculty on a regular, routine basis**  
*Established in Cycle: 2011-2012*
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

**Provide targeted costing and cost transfer training**  
*Established in Cycle: 2011-2012*
While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transf...

For full information, see the *Details of Action Plans* section of this report.
submissions, indicating that most faculty are not utilizing the tool. Faculty attendance at OSP offered information sessions has generally been low but it has been suggested that if these sessions were offered on a set schedule throughout the year, faculty and other stakeholders (e.g. Department Chairs and Associate Deans for Research) will become more aware of the availability and value of the offerings.

Established in Cycle: 2011-2012
Implementation Status: Finished
Priority: High

Relationships (Measure | Outcome/Objective):
- Measure: Attendance at training/educational offerings | Outcome/Objective: Adequate training/support for researchers and administrators
- Measure: Award Dollars Received | Outcome/Objective: Increase participation in sponsored research
- Measure: Frequency of Late Cost Transfers | Outcome/Objective: Provide timely, effective service to Faculty and Staff
- Measure: Percentage unspent budget balance | Outcome/Objective: Provide timely, effective service to Faculty and Staff
- Measure: Pivot (COS) Usage | Outcome/Objective: Increase participation in sponsored research
- Measure: Research Administration Support Group quiz | Outcome/Objective: Adequate training/support for researchers and administrators
- Measure: Spacing Rates | Outcome/Objective: Sponsored funding will be used appropriately
- Measure: Submission Numbers | Outcome/Objective: Increase participation in sponsored research

Implementation Description: A calendar of OSP educational offerings targeted toward faculty will be created and disseminated at the beginning of the academic year and will be updated and further publicized throughout the year.

Projected Completion Date: 04/2013
Responsible Person/Group: Office for Sponsored Programs and Contract and Grant Accounting
Additional Resources: NA

Provide targeted costing and cost transfer training

While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers each year. We believe that additional instruction and/or training provided specifically for those departments and taking their unique circumstances into consideration can help ensure correct charging and timely correction of errors, reducing late cost transfers.

Established in Cycle: 2011-2012
Implementation Status: Finished
Priority: High

Relationships (Measure | Outcome/Objective):
- Measure: Attendance at training/educational offerings | Outcome/Objective: Adequate training/support for researchers and administrators
- Measure: Frequency of Late Cost Transfers | Outcome/Objective: Provide timely, effective service to Faculty and Staff
- Measure: Percentage unspent budget balance | Outcome/Objective: Provide timely, effective service to Faculty and Staff
- Measure: Pivot (COS) Usage | Outcome/Objective: Increase participation in sponsored research
- Measure: Research Administration Support Group quiz | Outcome/Objective: Adequate training/support for researchers and administrators
- Measure: Spacing Rates | Outcome/Objective: Sponsored funding will be used appropriately

Implementation Description: Costing and cost transfer instruction/training will be provided to individual departments identified as needed additional guidance identified as needed additional guidance.

Projected Completion Date: 12/2012
Responsible Person/Group: Assistant VP for Research and Contract and Grant Accounting
Additional Resources: None

Improve appeal and content of offerings

Previous attempts to solicit ideas from the group/audience have had very little success. We will analyze the results of the individual survey questions and the change in the composition of the attendees. We will then solicit more specific feedback, particularly from individuals targeted based on their experience, job duties and/or change in attendance.

Established in Cycle: 2012-2013
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
- Measure: Research Administration Support Group quiz | Outcome/Objective: Adequate training/support for researchers and administrators

Projected Completion Date: 11/2013
Responsible Person/Group: Angie Shotts, Erica Gambrell, Cindy Hope
Additional Resources: NA

Provide proposal development resources

The Office for Sponsored Programs will continue to enhance its support of faculty during the proposal process in order to improve the quality of the proposals submitted.

Established in Cycle: 2012-2013
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
- Measure: Award Dollars Received | Outcome/Objective: Increase participation in sponsored research

Implementation Description: A partial FTE will be reassigned to research development activities from duties that can now be managed differently. This will allow OSP to provide faculty and other researchers with more networking opportunities for proposal development.
opportunites, educational offerings and assistance in securing proposal development assistance (e.g. editing services).

**Responsible Person/Group:** Cynthia Hope, Angie Shotts and Erica Gambrell

**Additional Resources:** A small amount will be needed to pay for editing services and the funds are already available within the OR/OSP budget. Otherwise, only a reassignment of duties among existing staff.

**Revise survey**

Ensure the scale (1 = strongly disagree, 10 = strongly agree) and the option of responding NA when the topic is not relevant are both obvious. Present two questions related to provision of service (one for OSP and one for C&GA) rather than the current, combined question, as many departmental administrators only work with one of the offices on a regular basis.

**Established in Cycle:** 2012-2013

**Implementation Status:** Planned

**Priority:** High

**Relationships (Measure | Outcome/Objective):**

- **Measure:** Research Administration Support Group quiz
- **Outcome/Objective:** Adequate training/support for researchers and administrators

**Projected Completion Date:** 09/2013

**Responsible Person/Group:** Angie Shotts, Erica Gambrell, Cindy Hope

**Additional Resources:** NA
Mission / Purpose

To encourage Research, Instruction and Public Service through support of faculty and other University personnel in the pursuit and administration of externally funded grants and contracts, in compliance with the requirements established by Federal and State laws, sponsor rules and regulations and University policies and procedures.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans

OthOtm 1: Encourage participation in sponsored research

We will encourage Faculty to pursue and participate in externally sponsored research. Sponsored Project activity supports the Research mission of the University but also the instruction and public service missions through both direct funding and important ancillary benefits (e.g. tuition and salary for GRAs).

Connected Document

Sponsored Programs Assessment Timetable

Related Measures

M 1: Submission Numbers

Submission Numbers – Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, expenditures/participation in externally sponsored research.

Source of Evidence: Activity volume

Target:
Increase number of submissions.

Finding (2011-2012) - Target: Met

Results:
The number of submissions has increased each fiscal year since FY 07, reaching a record high of 693 in FY 11. As of 6/30/12, the number of submissions during the FY 11-12 fiscal year had increased more than in the previous year and the total is expected to reach a new record of 750 submissions, an increase of over 8%, by the end of the fiscal year. This is a higher percentage increase than in the previous two fiscal years.

Interpretations and conclusions:
An increased focus on submission numbers in communications with faculty, department chairs, associate deans and deans, along with increased support and facilitation provided by OSP have contributed to increased submissions.

Related Action Plans (by Established cycle, then alpha):

Provide educational opportunities for faculty on a regular, routine basis

Established in Cycle: 2011-2012

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

For full information, see the Details of Action Plans section of this report.

M 2: Award Dollars Received

Award Dollars Received - Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in externally sponsored research.

Source of Evidence: Activity volume

Target:
Increase award dollars received.

Finding (2011-2012) - Target: Met

Results: The dollar total of awards received has increased by an average of around 8% per year for the past five years, for FY 12 is at a record high for the end of the third quarter, and is projected to reach over $76 million by the end of the fiscal year. This is only slightly (3.4%) lower that the record high reached during the peak of ARRA funding, FY 10. Expenditure dollars have also increased, and are projected to reach a record high of over $76 million by the end of the fiscal year.

Interpretations and conclusions: While the variable timing of awards makes it hard to correlate success with increased submissions, the overall increase in both over the past five years appears to indicate that efforts to increase submissions have led to increases in awards and expenditures.

Related Action Plans (by Established cycle, then alpha):

Provide educational opportunities for faculty on a regular, routine basis

Established in Cycle: 2011-2012

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

For full information, see the Details of Action Plans section of this report.

M 3: Pivot (COS) Usage

Pivot (formerly Community of Science) Usage - Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in
externally sponsored research.

Source of Evidence: Activity volume

**Target:**
Increase Pivot Usage

**Finding (2011-2012) - Target: Met**

*Results:* There were 394 logins during Jan-June of 2012 compared to 223 during the same period last year. Other statistics are not comparable this year due to changes in the functionality of the system when it converted from COS to Pivot.

Interpretations and conclusions: Increased communications, resources and services focused on finding funds have encouraged faculty to use Pivot, which we believe is partially responsible for the increase in submissions, awards and expenditures.

**Related Action Plans (by Established cycle, then alpha):**

- **Provide educational opportunities for faculty on a regular, routine basis** *(Established in Cycle: 2011-2012)*
  - While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

  For full information, see the *Details of Action Plans* section of this report.

**OthOtcm 2: Adequate training/support for researchers and administrators**

We will provide adequate training and support for Faculty and Staff responsible for the administration of sponsored projects to efficiently conduct sponsored activity in compliance with University and sponsor requirements.

**Connected Document**

[Sponsored Programs Assessment Timetable](#)

**Related Measures**

**M 4: Research Administration Support Group quiz**

Research Administration Support Group quiz scores, indicating how confident these individuals are with their understanding of policies and procedures related to sponsored project administration and the assistance they receive from OSP/C&GA.

Source of Evidence: Evaluations

**Target:**
Increase scores.

**Finding (2011-2012) - Target: Met**

*Results:* Survey/quiz scores increased overall on the 8 questions related to confidence/comfort with processes both from last year to this year and from the beginning to the end of the 11-12 academic year. Ratings of service received from OSP and C&GA fluctuated but remained between 8.9 and 9.5 (out of 10). Ratings for the effectiveness of the Lunch and Learn program (gathered only at the end of each year) increased as well. The 62 quizzes/surveys completed during the current year was significantly better than in the prior year (34).

Interpretations and Conclusions: The professional development and outreach activities provided by the office are effective and well received. Perceptions of service provide remain high. Measures taken to increase participation in the evaluation process (quiz/survey) were effective.

**Related Action Plans (by Established cycle, then alpha):**

- **Provide educational opportunities for faculty on a regular, routine basis** *(Established in Cycle: 2011-2012)*
  - While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

- **Provide targeted costing and cost transfer training** *(Established in Cycle: 2011-2012)*
  - While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers...

  For full information, see the *Details of Action Plans* section of this report.

**M 5: Attendance at training/educational offerings**

Attendance at OSP/C&GA training sessions/educational offerings.

Source of Evidence: Administrative measure - other

**Target:**
Increase total attendance.

**Finding (2011-2012) - Target: Partially Met**

*Results:* A total of 515 attendees participated in various training and educational opportunities provided from 9/1/11-5/31/12 compared to 388 during that same period in the prior year. Additional details (number of offerings, number of individuals) will be available shortly.

Interpretations and Conclusions: Training/educational offering on topics related to sponsored projects funding and administration continue to be appreciated and more analysis should be done to determine what should be continued, what other information should be presented, etc.

**Related Action Plans (by Established cycle, then alpha):**

- **Provide educational opportunities for faculty on a regular, routine basis** *(Established in Cycle: 2011-2012)*
  - While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

- **Provide targeted costing and cost transfer training** *(Established in Cycle: 2011-2012)*
  - While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...
While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers.

For full information, see the Details of Action Plans section of this report.

**OthOtcn 3: Provide quality service to Faculty and Staff**
We will implement and maintain processes that provide for timely, accurate, responsive service to Faculty and Staff.

**Connected Document**
Sponsored Programs Assessment Timetable

**Related Measures**

**M 4: Research Administration Support Group quiz**
Research Administration Support Group quiz scores, indicating how confident these individuals are with their understanding of policies and procedures related to sponsored project administration and the assistance they receive from OSP/C&GA.

Source of Evidence: Evaluations

**Target:**
Increase scores.

*Finding (2011-2012) - Target: Met*
Results: Survey/quiz scores increased overall on the 8 questions related to confidence/comfort with processes both from last year to this year and from the beginning to the end of the 11-12 academic year. Ratings of service received from OSP and C&GA fluctuated but remained between 8.9 and 9.5 (out of 10). Ratings for the effectiveness of the Lunch and Learn program (gathered only at the end of each year) increased as well. The 62 quizzes/surveys completed during the current year was significantly better than in the prior year (34).

Interpretations and Conclusions: The professional development and outreach activities provided by the office are effective and well received. Perceptions of service provide remain high. Measures taken to increase participation in the evaluation process (quiz/survey) were effective.

*Related Action Plans (by Established cycle, then alpha):*

- **Provide educational opportunities for faculty on a regular, routine basis**
  *Established in Cycle: 2011-2012*
  While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

- **Provide targeted costing and cost transfer training**
  *Established in Cycle: 2011-2012*
  While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers...

For full information, see the Details of Action Plans section of this report.

**M 6: Duplicate - Remove**
Duplicate - Remove

Source of Evidence: Evaluations

**M 7: Frequency of Late Cost Transfers**
Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner).

Source of Evidence: Existing data

**Target:**
Fewer late cost transfers

*Finding (2011-2012) - Target: Partially Met*
Results: While there were more individual forms processed (one per transaction) during the current year than in the prior year, there were fewer incidents/requests. In effect, one problem can result in the need for multiple forms. Two requests during the current year included unusually large numbers of transactions/forms.

Interpretations and conclusions: Training provided on the importance of correct charging allocation and timely correction of errors has contributed to a reduction in total requests for late cost transfers. We continue to see a higher rate of requests from certain departments and need to provide specific, targeted guidance and assistance in those areas.

*Related Action Plans (by Established cycle, then alpha):*

- **Provide educational opportunities for faculty on a regular, routine basis**
  *Established in Cycle: 2011-2012*
  While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

- **Provide targeted costing and cost transfer training**
  *Established in Cycle: 2011-2012*
  While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers...

For full information, see the Details of Action Plans section of this report.

**M 8: Percentage unspent budget balance**
Percentage of unspent balance to total budget at end of grant.

Source of Evidence: Existing data

**Target:**
The average percentage of any unspent balance at the end of projects will be reduced.

**Finding (2011-2012) - Target: Met**

**Results:** The average balance remaining at 6/30/12 in accounts ending 3/31/12 was 4.12 percent. This is significantly lower than the average 8.33 percent remaining at 6/30/11 in accounts ending 3/31/11.

Interpretations and conclusions: Creation, implementation and availability of the Sponsored Projects Dashboard has increased faculty awareness of account balances and activity making it easier to ensure that more funds are appropriately utilized for allowable, allocable charges.

**Related Action Plans (by Established cycle, then alpha):**

*Provide educational opportunities for faculty on a regular, routine basis*

*Established in Cycle: 2011-2012*

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

For full information, see the Details of Action Plans section of this report.

**OthOtcm 4: Sponsored funding will be used appropriately**

We will support and encourage the use of sponsored funding in an appropriate, timely manner.

**Connected Document**

*Sponsored Programs Assessment Timetable*

**Related Measures**

**M 7: Frequency of Late Cost Transfers**

Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner).

**Source of Evidence:** Existing data

**Target:**

Fewer late cost transfers

**Finding (2011-2012) - Target: Partially Met**

**Results:** While there were more individual forms processed (one per transaction) during the current year than in the prior year, there were fewer incidents/requests. In effect, one problem can result in the need for multiple forms. Two requests during the current year included unusually large numbers of transactions/forms.

Interpretations and conclusions: Training provided on the importance of correct charging allocation and timely correction of errors has contributed to a reduction in total requests for late cost transfers. We continue to see a higher rate of requests from certain departments and need to provide specific, targeted guidance and assistance in those areas.

**Related Action Plans (by Established cycle, then alpha):**

*Provide educational opportunities for faculty on a regular, routine basis*

*Established in Cycle: 2011-2012*

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

*Provide targeted costing and cost transfer training*

*Established in Cycle: 2011-2012*

While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers...

For full information, see the Details of Action Plans section of this report.

**M 8: Percentage unspent budget balance**

Percentage of unspent balance to total budget at end of grant.

**Source of Evidence:** Existing data

**Target:**

The average percentage of any unspent balance at the end of projects will be reduced.

**Finding (2011-2012) - Target: Met**

**Results:** The average balance remaining at 6/30/12 in accounts ending 3/31/12 was 4.12 percent. This is significantly lower than the average 8.33 percent remaining at 6/30/11 in accounts ending 3/31/11.

Interpretations and conclusions: Creation, implementation and availability of the Sponsored Projects Dashboard has increased faculty awareness of account balances and activity making it easier to ensure that more funds are appropriately utilized for allowable, allocable charges.

**Related Action Plans (by Established cycle, then alpha):**

*Provide educational opportunities for faculty on a regular, routine basis*

*Established in Cycle: 2011-2012*

While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

For full information, see the Details of Action Plans section of this report.

**M 9: Spending Rates**

Spending Rates – Sponsored agreements are of a limited duration plus sponsors use spending rates as an indication that work is progressing as planned.

**Source of Evidence:** Existing data

**Target:**

The average percentage of funds spent will not lag behind the average percentage of completion for projects.
Finding (2011-2012) - Target: Met

Results: For active projects and those ending within the three months prior to 6/30/12, the average percentage of funds remaining was 35.3 and the average percentage of time remaining was 29.9, a difference of only 5.4 percentage points. During the pilot last year, the percentage of funds remaining in excess of the percentage of time remaining was 6.49 percent.

Interpretations and conclusions: The creations, implementation and availability of the Sponsored Projects Dashboard along with the availability of spending rate reports has positively impacted spending rates, indicating the use of funds in an appropriate, timely manner.

Related Action Plans (by Established cycle, then alpha):

Provide educational opportunities for faculty on a regular, routine basis
*Established in Cycle: 2011-2012*
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased...

Provide targeted costing and cost transfer training
*Established in Cycle: 2011-2012*
While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers...

For full information, see the Details of Action Plans section of this report.

**Details of Action Plans for This Cycle (by Established cycle, then alpha)**

**Provide educational opportunities for faculty on a regular, routine basis**
While Pivot usage, submissions, awards and expenditures have increased and late cost transfers and unspent balances have decreased, more can be done to encourage and facilitate faculty efforts to secure external funding and spend it timely and appropriately. For example, the number of Pivot session logins is far less than the number of submissions, indicating that most faculty are not utilizing the tool. Faculty attendance at OSP offered information sessions has generally been low but it has been suggested that if these sessions were offered on a set schedule throughout the year, faculty and other stakeholders (e.g. Department Chairs and Associate Deans for Research) will become more aware of the availability and value of the offerings.

*Established in Cycle: 2011-2012*
*Implementation Status: Planned*
*Priority: High*

**Relationships (Measure | Outcome/Objective):**
- **Measure:** Attendance at training/educational offerings | **Outcome/Objective:** Adequate training/support for researchers and administrators
- **Measure:** Award Dollars Received | **Outcome/Objective:** Encourage participation in sponsored research
- **Measure:** Frequency of Late Cost Transfers | **Outcome/Objective:** Provide quality service to Faculty and Staff
- **Measure:** Percentage unspent budget balance | **Outcome/Objective:** Provide quality service to Faculty and Staff
- **Measure:** Pivot (COS) Usage | **Outcome/Objective:** Encourage participation in sponsored research
- **Measure:** Research Administration Support Group quiz | **Outcome/Objective:** Adequate training/support for researchers and administrators
- **Measure:** Spending Rates | **Outcome/Objective:** Sponsored funding will be used appropriately
- **Measure:** Submission Numbers | **Outcome/Objective:** Encourage participation in sponsored research

**Implementation Description:** A calendar of OSP educational offerings targeted toward faculty will be created and disseminated at the beginning of the academic year and will be updated and further publicized throughout the year.

*Projected Completion Date: 04/2013*
*Responsible Person/Group: Office for Sponsored Programs and Contract and Grant Accounting*
*Additional Resources: NA*

**Provide targeted costing and cost transfer training**
While overall late cost transfer activity has decreased, certain departments continue to request a large number of cost transfers each year. We believe that additional instruction and/or training provided specifically for those departments and taking their unique circumstances into consideration can help ensure correct charging and timely correction of errors, reducing late cost transfers.

*Established in Cycle: 2011-2012*
*Implementation Status: Planned*
*Priority: High*

**Relationships (Measure | Outcome/Objective):**
- **Measure:** Attendance at training/educational offerings | **Outcome/Objective:** Adequate training/support for researchers and administrators
- **Measure:** Frequency of Late Cost Transfers | **Outcome/Objective:** Provide quality service to Faculty and Staff
- **Measure:** Percentage unspent budget balance | **Outcome/Objective:** Provide quality service to Faculty and Staff
- **Measure:** Pivot (COS) Usage | **Outcome/Objective:** Encourage participation in sponsored research
- **Measure:** Research Administration Support Group quiz | **Outcome/Objective:** Adequate training/support for researchers and administrators
- **Measure:** Spending Rates | **Outcome/Objective:** Sponsored funding will be used appropriately
| Measure: Research Administration Support Group quiz | Outcome/Objective: Adequate training/support for researchers and administrators |
| Measure: | Outcome/Objective: Provide quality service to Faculty and Staff |
| Spending Rates | Sponsored funding will be used appropriately |

**Implementation Description:** Costing and cost transfer instruction/training will be provided to individual departments identified as needed. Additional guidance will be provided.

**Projected Completion Date:** 12/2012

**Responsible Person/Group:** Assistant VP for Research and Contract and Grant Accounting

**Additional Resources:** None
Administrative Office
2011-12 Assessment Plan

Division Name: Office for Research
Administrative Office Name: Office for Sponsored Programs and Contract and Grant Accounting

I. Department Mission Statement:

To encourage Research, Instruction and Public Service through support of faculty and other University personnel in the pursuit and administration of externally funded grants and contracts, in compliance with the requirements established by Federal and State laws, sponsor rules and regulations and University policies and procedures.

II. Expected Outcomes

Outcome 1. We will encourage Faculty to pursue and participate in externally sponsored research. Sponsored Project activity supports the Research mission of the University but also the instruction and public service missions through both direct funding and important ancillary benefits (e.g. tuition and salary for GRAs).

| Measure 1.1 Submission Numbers – Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, expenditures/participation in externally sponsored research. |
| Measure 1.2 Award Dollars Received - Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in externally sponsored research. |
| Measure 1.3 (Optional) Community of Science Usage - Increased facilitation and emphasis on the number of submissions/proposals to external funding agencies should positively impact awards and, therefore, participation in externally sponsored research. |

How would you categorize Outcome 1?  
- Administrative Support/Operational Effectiveness outcome  
- Educational Support outcome  
- Research outcome  
- Community Service outcome

This outcome best relates to which UA Strategic Plan Goal and Objective?  
Strategic Plan Goal # 1 Objective # 1

Outcome 2. We will provide adequate training and support for Faculty and Staff responsible for the administration of sponsored projects to efficiently conduct sponsored activity in compliance with University and sponsor requirements.

| Measure 2.1 Research Administration Support Group quiz scores, indicating how confident these individuals are with their understanding of policies and procedures related to sponsored project administration and the assistance they receive from OSP/CGA. |
| Measure 2.2 Attendance at OSP/CGA training sessions/educational offerings |
| Measure 2.3 (Optional) |

How would you categorize Outcome 2?  
- Administrative Support/Operational Effectiveness outcome
Outcome 3. We will implement and maintain processes that provide for timely, accurate, responsive service to Faculty and Staff.

Measure 3.1 Research Administration Support Group quiz scores, indicating how these individuals perceive the assistance they receive from OSP/CGA.

Measure 3.2 Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner).

Measure 3.3 (Optional) Percentage of unspent balance to total budget at end of grant

How would you categorize Outcome 3?  

- Administrative Support/Operational Effectiveness outcome  
- Educational Support outcome  
- Research outcome  
- Community Service outcome

This outcome best relates to which UA Strategic Plan Goal and Objective?  
Strategic Plan Goal # 1  Objective # 6

Outcome 4. We will support and encourage the use of sponsored funding in an appropriate, timely manner.

Measure 4.1 Spending Rates – Sponsored agreements are of a limited duration plus sponsors use spending rates as an indication that work is progressing as planned.

Measure 4.2 Frequency of Late Cost Transfers – Late Cost Transfers are considered, particularly by auditors, to be an indication of a lack of understanding of policies and procedures (i.e. a charge was allocated incorrectly and the error was not discovered and corrected in a timely manner), which can lead to inappropriate use of sponsored funds.

Measure 4.3 (Optional) Percentage of unspent balance to total budget at end of grant

How would you categorize Outcome 4?  

- Administrative Support/Operational Effectiveness outcome  
- Educational Support outcome  
- Research outcome  
- Community Service outcome

This outcome best relates to which UA Strategic Plan Goal and Objective?  
Strategic Plan Goal # 1  Objective # 4
### Outcome 5.

**Measure 5.1**

**Measure 5.2**

**Measure 5.3 (Optional)**

How would you categorize Outcome 5?  
- [ ] Administrative Support/Operational Effectiveness outcome  
- [ ] Educational Support outcome  
- [ ] Research outcome  
- [ ] Community Service outcome

This outcome best relates to which UA Strategic Plan Goal and Objective?  
- [ ] Strategic Plan Goal #  
- [ ] Objective #

### Outcome 6. (Optional)

**Measure 6.1**

**Measure 6.2**

**Measure 6.3 (Optional)**

How would you categorize Outcome 6?  
- [ ] Administrative Support/Operational Effectiveness outcome  
- [ ] Educational Support outcome  
- [ ] Research outcome  
- [ ] Community Service outcome

This outcome best relates to which UA Strategic Plan Goal and Objective?  
- [ ] Strategic Plan Goal #  
- [ ] Objective #

### III. Timetable: What Assessment Measures will be Administered When for Each Expected Outcome

<table>
<thead>
<tr>
<th>Outcome #1</th>
</tr>
</thead>
<tbody>
<tr>
<td>We will encourage Faculty to pursue and participate in externally sponsored research...</td>
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<table>
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<th>Outcome #2</th>
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<td>We will provide adequate training and support for Faculty and Staff...</td>
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<table>
<thead>
<tr>
<th>Outcome #4</th>
</tr>
</thead>
<tbody>
<tr>
<td>We will support and encourage the use of sponsored funding in an appropriate, timely manner.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Outcome #5</th>
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<table>
<thead>
<tr>
<th>Outcome #6</th>
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<table>
<thead>
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<th>September</th>
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</thead>
<tbody>
<tr>
<td>2.1</td>
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<td>3.1</td>
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<table>
<thead>
<tr>
<th>October</th>
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</thead>
<tbody>
<tr>
<td>1.1&amp;1.2</td>
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<tr>
<td></td>
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<tr>
<td>--------</td>
</tr>
<tr>
<td>November</td>
</tr>
<tr>
<td>December</td>
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<td>January</td>
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<td>February</td>
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<td>April</td>
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<td>May</td>
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</tr>
<tr>
<td>July</td>
</tr>
<tr>
<td>August</td>
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</tbody>
</table>

**Optional Additional Narrative** (Use this space to provide any additional detail concerning the 2011-12 Administrative Office Assessment Plan)