NCURA Region VI/VII Conference

Conducting Organizational Development (OD) Assessments: Research Environment Scan

April 2012

Kathi Delehoy and Margaret Saldana
Office of the Vice President for Research
Colorado State University
Organizational development (OD) focuses on improving the organization rather than individuals. It requires that all individuals be involved. It is not a ‘fix it’ strategy but rather a way to make *continuous improvements* to the organization through strategic approaches.

**Goals of This Session**

1) Provide Orientation to Workplace Assessment

2) Share CSU’s Specific Experience and Outcome
Learning Organization –
Focuses on enhancing its systems (including people) to continually increase the organization’s capacity for performance.

Total Quality Management – Focuses on customer satisfaction.

Strategic Planning –
Organizational planning process for the upcoming year.

Continuous Improvement – Increase efficiency, effectiveness, & flexibility.

Balanced Scorecard –
Performance Indicators (customer satisfaction, business processes, growth & financials).

Benchmarking – Standard measurements in a service or industry.
Workplace assessments are increasingly popular for collecting information that can help the organization’s effectiveness as it relates to performance, learning, and change.

- They offer an opportunity for organizations to identify their strengths, weaknesses, opportunities, and threats (SWOT).
- They help with identifying the true root causes of problems or breakdowns within the environment.
They provide an opportunity for planning strategies/interventions

They recommend actions to be taken to improve the organization’s effectiveness and performance

It’s important that the right type of assessment is used in order to collect the right information

Care must be taken to avoid leading respondents to a particular response through the wording of questions
Methodology Used by CSU

Step 1: Assessed Survey Needs
- Identified survey objectives
- Identified employee survey demographics

Step 2: Developed Survey
- Designed survey questions
- Created survey instrument

Step 3: Conducted the Survey
- Administered the survey – Student Voice
- Tabulated and compiled survey results – ODLA Coordinator

Step 4: Communicated Results
- Prepared and delivered report
- Summary reports to Colleges/Unit Divisions
- Used College Deans/Directors to communicate results to employees

Step 5: Committed to Action
Assessing Survey Needs

- **Survey Objectives**
  - Evaluate health and well-being of the program
  - Deliver AND collect information
  - Inform the strategic planning process
  - Guide research investments
  - Identify “quick wins” to assist researchers
  - Identify potential areas of expansion, i.e., increase research expenditures
  - Determine capacity for increased research productivity

- **Demographics**
  - 1303 Survey Recipients identified from all employee levels and roles
    - Principal Investigators
    - Directors of Programs of Research and Scholarly Excellence
    - University Distinguished Professors
    - Deans
    - Research Associate Deans
    - College Business Officers
    - Faculty (Full, Associate, and Assistant)
    - Research Support (AP, Classified, GA’s)
Creation and Design of the Survey

- Opinion survey with a learning (awareness) factor built into the design. The survey was comprised of 18 Rating, Importance, and Amount questions. In addition, it had a couple of open-ended questions.

**Example:** CSU continues to grow its research program through the active participation of its faculty in competitive funding. Federal sources currently comprise the bulk of the funding (>80%). Indicate your priority for efforts to expand the overall external research funding portfolio at CSU.
Example: CSU set a new record in FY2009-2010 for research funding awards based on near record proposal submissions. This trend of over 2,100 proposals submitted per year will likely need to continue if we are to maintain our awards in the $285M range.

Example: The RA/RSP provides funding in an amount related to the F&A recoveries to support scholarly activity at CSU. Over the past 5 years this funding has allowed for $1.9M of support....

Example: The Chronicle of Higher Education comment by Paul Basken entitled, “As budgets tighten, Big Science Gets a New Opportunity to Make its Case” (March 27, 2011) spoke to the increasing emphasis on “team science.” Some examples of ways to support steam science are to connect scientists, provide project management expertise and/or assistance “launching” complex projects.....
Research Environment Scan
Conducted July 2011
The Office of the Vice President for Research

Consultant: Margaret Saldaña, ODLA Coordinator
Sponsor: Kathi Delehoy, Senior Vice President for Research
Bill Farland, Vice President for Research

Research at Colorado State University-
Local Discovery...Global Impact
Colorado State’s Research Expenditure Trend $ in Millions

Research at Colorado State University - Local Discovery...Global Impact
Overarching Themes Were Identified

- **Build Internal/External Relationships.** The important VPR role in identifying potential connections, fostering new relationships (and funding opps), and establishing new funding mechanisms was recognized.

- **Grow Human Resources.** Graduate students, postdocs, and non-T/TT research personnel seen as research drivers. More professional research and project management resources are desired. Availability of mentors critical.

- **Provide Training and Professional Development.** Strong desire for grantsmanship training (or grant writers) as well as help identifying and developing individuals to lead team science and collaborative efforts.
Ranked* Responses are Available on Some Topics

Respondents ranked the importance of:

- Various types of funding sources
- Source of pre-award support
- Improving post-award support
- Areas to reduce administrative burden
- Selected “best practices”

*Most Important: 4, 5, or 6
Least Important: 1
Importance of Sponsor Types to Expand the External Research Base

- Broaden base of federal agencies: 4.97
- Foundations/nonprofits: 3.67
- Broaden base of other government entities: 3.46
- Private sector companies: 3.46
- Regional collaborations with other universities and organizations: 3.04
- International academic partnerships: 2.45

Research at Colorado State University - Local Discovery...Global Impact
Importance of Increasing CSU Pre-award Support in Designated Areas

- Increase department-level pre-award staff support: 3.32
- Increase college-level pre-award staff support: 3.02
- Increase central-level of pre-award staff support: 2.51
- Contract out for pre-award support: 1.18

Research at Colorado State University - Local Discovery...Global Impact
Importance of Increasing CSU Post-award Support in Designated Areas
Importance of Designated Thematic Areas to Reduce Principal Investigator (PI) Administrative Burden

- Increase flexibility to researchers when allowable
- Identify procedures that are not mandated or do not add value
- Create more user-friendly post-award accounting systems
- Assess the efficacy of the current regulatory administration at CSU
- Increase authorities at the unit level
- Evaluate the costs and impacts of procedures
- Standardize the interpretation and application of procedures across offices/divisions
Importance of “Best Practice" Efforts for Enabling a Growing Research Enterprise
Issues to Address to Improve the Research Environment

- **Lost Opportunities**. Lack of proposal development support, sources for cost sharing, or just not thinking “big” enough.

- **Talent**. Leadership for interdisciplinary and collaborative teams. Research-dedicated faculty. GRA’s and Postdocs. Professional research and project managers and grant writers.

- **Compensation**. Salary levels and raise restrictions especially as applied to trainees and research personnel. Supplemental pay. Search and hiring processes.

- **Facilities**. Need for renovated laboratory space. Core/Specialized facilities equipment access and cost. Computational services. Upgrades and service agreements.
Others Require Longer-Term Planning and Response

- Increase human capital
- Develop new relationships with and opportunities from a variety of potential sponsors and access to museums, collections, and sites for scholarship and creative artistry
- Develop research facility infrastructure—assets and sustainability
- Identify funding for major strategic initiatives, center creation, and pilot funding
- Incentivize participation in private sector opportunities
Anticipated Follow-up

- College-specific responses have been provided to the Dean and Research Associate Dean
- OVPR annual “Trends” meetings with each college focused on the environmental scan
- A summary report is posted to the Research website (full survey results available to those with EID access)
- Analyses has been shared with the Council of Deans, Council of Research Associate Deans, and Cabinet
- Results have been incorporated into the OVPR and University Strategic Plan activities
- Efforts to implement key comments are underway
Preparation and Delivery of Report

Prepared Report
- ODLA Coordinator
- Senior Associate Vice President for Research
- Vice President for Research

Communicating Results
- Fall Leadership Forum
- Annual “Trends” Conversation with each College
- Division reports
- Report on Website
- Enlisted College Deans/Directors to communicate results to employees
- 2012 Professional Development Institute presentation
Commitment to Action

- University Strategic Plan/OVPR Strategic Plan
- Annual Base Budget Request:
  - Staffing
  - Bioinformatics
- Quick Wins:
  - Grantsmanship
  - Networking
  - Inventories of Existing Resources
  - Increased Awareness
For Additional Information

<table>
<thead>
<tr>
<th>Kathi Delehoy</th>
<th>Margaret Saldana</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Associate VP for Research Administration</td>
<td>Organizational Development, Learning &amp; Assessment Coordinator</td>
</tr>
<tr>
<td>Office of the Vice President for Research</td>
<td>Office of the Vice President for Research</td>
</tr>
<tr>
<td>Colorado State University</td>
<td>Colorado State University</td>
</tr>
<tr>
<td><a href="mailto:Kathi.Delehoy@colostate.edu">Kathi.Delehoy@colostate.edu</a></td>
<td><a href="mailto:Margaret.Saldana@colostate.edu">Margaret.Saldana@colostate.edu</a></td>
</tr>
<tr>
<td>970/491-7194</td>
<td>970/491-7194</td>
</tr>
</tbody>
</table>
## Opportunities for Increasing Funding

<table>
<thead>
<tr>
<th>Opportunities</th>
<th>Resources</th>
<th>Improvements to Formal Org</th>
<th>Improve Process</th>
<th>New Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Foster external partnership relations</td>
<td>• Human Resources</td>
<td>• Improve interface relationships</td>
<td>• Improve IDC process</td>
<td>• Develop new interdisciplinary groups to seek grant funds</td>
</tr>
<tr>
<td>• Improve collaborations</td>
<td>• Admin support</td>
<td>• Foster collaborations at CSU</td>
<td>• Buy back teaching hours</td>
<td>• Create incentives and rewards for faculty who secure research dollars</td>
</tr>
<tr>
<td>• Obtain private donors</td>
<td>• Staff to identify grant funding opportunities</td>
<td>• Combine expertise across campus</td>
<td></td>
<td>• Recruit new research faculty</td>
</tr>
<tr>
<td>• Local foundations</td>
<td>• Grant writers</td>
<td></td>
<td></td>
<td>• Develop research consortiums</td>
</tr>
<tr>
<td>• Supplementary funds</td>
<td>• Core funding</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Contract work</td>
<td>• Research centers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Town/gown partnerships</td>
<td>• Seed grants</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Research at Colorado State University-
Local Discovery...Global Impact
### Other Suggestions for Enhancing Research Proposal Development and Submission

<table>
<thead>
<tr>
<th>Opportunities</th>
<th>Resources</th>
<th>Improvements to Formal Org</th>
<th>Improve Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Training and Development</td>
<td>• Human Resources</td>
<td>• Improve interface relationships</td>
<td>• Budget reporting</td>
</tr>
<tr>
<td>• Budget development</td>
<td>• Grant writers</td>
<td>• Reduce administrative burden</td>
<td>• Rewards and recognition for</td>
</tr>
<tr>
<td>• Grant writing</td>
<td>• Science writers</td>
<td>• Improve budget tools</td>
<td>faculty grant writers</td>
</tr>
<tr>
<td></td>
<td>• Grant readers</td>
<td></td>
<td>• Streamline cross cultural</td>
</tr>
<tr>
<td></td>
<td>• Editors</td>
<td></td>
<td>proposal approvals</td>
</tr>
<tr>
<td></td>
<td>• Support staff</td>
<td></td>
<td>• Improve OSP processes</td>
</tr>
<tr>
<td></td>
<td>• Development officers</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Suggestions to Better Support Team Science

<table>
<thead>
<tr>
<th>Where are we proficient</th>
<th>Resource Needs</th>
<th>Factors that will support us</th>
<th>Factors that currently challenge us</th>
</tr>
</thead>
<tbody>
<tr>
<td>• SuperClusters</td>
<td>• Project management</td>
<td>• Networking opportunities</td>
<td>• Time</td>
</tr>
<tr>
<td>• SoGES</td>
<td>• Technical writing</td>
<td>• Mentoring opportunities</td>
<td>• Lack of resources</td>
</tr>
<tr>
<td>• Other CSU researchers who are currently doing team science, identify who there are</td>
<td>• Budget management</td>
<td>• Incentives (P &amp; T)</td>
<td>• Staff support</td>
</tr>
<tr>
<td></td>
<td>• Access to shared resources</td>
<td>• Administration</td>
<td>• Perceived lack of support from departments</td>
</tr>
<tr>
<td></td>
<td>• “One source&quot; administrative units to oversee team science</td>
<td>• Pilot project funding</td>
<td>• Lack of space/labs</td>
</tr>
<tr>
<td></td>
<td>• Creation of &quot;mini clusters&quot;</td>
<td>• Promotion and tenure</td>
<td>• No central database to identify potential partners and projects</td>
</tr>
</tbody>
</table>

---

*Research at Colorado State University - Local Discovery...Global Impact*
### Other Suggestions for Reducing PI Administrative Burden

#### Where we need help
- Support at the department level
- Human Resources
  - Accountants
  - Administrative
- Hiring process needs to be streamlined for hiring research assistants

#### Factors that will support us
- Improve teaching buy-out process
- Admin grant personnel at the college/dept level
- Allowing budget access to Co-PIs
- Recognition and rewards for efforts
- RA/RSP process

#### Factors that currently challenge us
- Inadequate facilities
- Post-award accounting
- Internal competition with regard to IDC
- Non-allowables from feds (i.e. admin support)
- Layers of staff that do not have position authority to make decisions