

Periodic Unit Review

**Grants & Sponsored Programs (GSP)
Division of Administration**

*Previously Development, Institutional
Advancement*

FY 2023 – 2024

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a. Overview of the Unit

The Grants & Sponsored Programs (GSP) unit at LaGuardia Community College guides and supports the college community in securing and managing external funding to promote the strategic goals and priorities of the college and its individual programs.

Processes include:

- conducting and assisting with funding opportunity searches for additional resources to support and enhance the mission of the college and its strategic plan;
- providing guidance, training, and technical assistance to faculty, staff, and college leadership for preparation and submission of proposals, development of project budgets, and administration of awarded funds in compliance with sponsor and institutional guidelines;
- support principal investigators, project directors, and program staff throughout their project lifecycles with account establishment, project reporting requirements, purchasing, personnel related items, and account close out;
- liaising with the Research Foundation of CUNY (RFCUNY) for all contract negotiation, compliance, and grant administration;
- serving as the college's authorized organizational representative for the submission of electronic grant proposals to federal funding agencies; retaining records of contracts, budgets, and sponsor guidelines for all awarded funds.

GSP uses its department-specific college shared drive to store all internal files and a LaGuardia Community College hosted website and SharePoint site to share resources with faculty and staff. The unit has developed internal processes, such as the Proposal Development Questionnaire (PDQ), in efforts to reduce overall administrative burden both for the department as well as other members of the college community supported by the department. Other resources include funding search engines such as Pivot and GrantForward, as well as Pre-Award Proposal Services (PAPS) offered by the RFCUNY. For administration of awarded funds, GSP utilizes electronic tools offered by the RFCUNY (Contract Manager, Electronic Payment Requests, personnel management portals); as well as the expertise of RFCUNY project administrators who work with GSP to ensure proper compliance and stewardship of funds.

Key users and stakeholders of the unit include: LaGuardia Community College faculty and staff; principal investigators, project administrators, and sponsored program support staff; college leadership including the President, Provost, Vice Presidents, and Deans; the CUNY Office of Research; sponsors and funding agencies; and the RFCUNY. Students are also end-user stakeholders, who ultimately benefit from the research and sponsored programs coordinated through GSP.

GSP's core values and guiding principles include a commitment to good stewardship of funds; honest and transparent communications and processes with all internal and external stakeholders; service-oriented collaboration with principal investigators; and a collaborative team-based approach to problem solving, in order to most effectively leverage the unit's resources and expertise. GSP is committed to working with integrity and accountability to ensure that all funds and processes managed through the unit are allowable, allocable, and reasonable, as well as compliant with all applicable sponsor and institutional guidelines.

LaGuardia Community College's mission is "to educate and graduate one of the most diverse student populations in the country to become critical thinkers and socially responsible citizens who help to shape a rapidly evolving society." The aforementioned core values and principals of GSP allow the department to support the college's mission through developing successful grant proposals, securing funding for sponsored programs that support and grow the college's diverse student populations, and supporting principal investigators and program staff in successfully carrying out their program activities in regards to the administration of their awarded funds. Additionally, secured funding for faculty and staff professional development enables them to grow in their careers and enhance the services they are able to provide to students.

LaGuardia Community College's Division of Administration and Finance "provides leadership, expertise, and a broad range of services for our students, faculty, staff, and community." Given the vastly dissimilar responsibilities of the division's units – which include Administration and Finance, Information Technology, LaGuardia Performing Arts Center, Buildings Operations and Facilities, Public Safety, and more – there is no singular unified mission of the Division of

Administration. The division's work is defined by its cross-divisional and holistic encompassing support of all campus activities. GSP fits within the division's identity by supporting the financial and operational well-being of numerous college projects across the campus regardless of division. GSP's knowledge and expertise in the full lifecycle of grant award management enables the unit to ensure that the college can obtain and successfully deliver sponsored funded programs to fulfill its mission and goals.

Summary of AES Assessment Plans for PUR

Year: 2022-23

Unit/Department: Development/Grants

Grants was added in 2021-22

Mission: The Mission of the Development Department is to cultivate and develop enduring relationships with individual, corporate and institutional funders to raise financial support for students through the LaGuardia Community College Foundation. Additionally, the Development Department manages and distributes funds through current and new initiatives to enhance student success.

Goals	Objective/ Outcomes	college Strategic Plan alignment*	Annual assessment results				Target /baseline	Indicator**
			2018-19	2019-20	2020-21	2021-22		
<p>Goal 1: Expand relationships required to fund the LaGuardia Community College Foundation programs through cultivation of existing and prospective donors.</p>	<p style="color: red;">Objectives modified in 2020-21</p> <p>1.1 Cultivate relationships with existing and prospective donors (annual donors and major donors) to achieve current fiscal year campaign goal: Tomorrow Challenge Campaign</p>	<p>1 - Build Student Access and Success</p>		<p style="color: red;">Different objective</p> <ul style="list-style-type: none"> Donors made contributions to scholarship funds and other student programs with over \$3.2M raised in fundraising for the fiscal year. 	<ul style="list-style-type: none"> From the launch of the LaGuardia Challenge Match on April 1, 2021 to the end of the fiscal year on June 30, 2021, a total of \$503,723 was fundraised from 6 Board members plus 208 donors 	<ul style="list-style-type: none"> On April 4, 2022, the college announced that it has raised \$15 million through the Campaign. 	<p>Raise \$10 million between April 1, 2021 to March 31, 2022 to unlock \$5 million pledge by an anonymous donor.</p>	<p>Met</p>
<p style="color: red;">Goal was modified in 2020-21</p> <p>Goal 2: Provide students with financial assistance from funds raised by the LaGuardia Community College Foundation to build student success.</p>	<p>Objective 2.1 Provide Foundation-funded awards to students via scholarships, emergency aid, on-campus payroll, and stipends.</p>	<p>1 - Build Student Access and Success</p>		<ul style="list-style-type: none"> The LaGuardia Foundation provided 2,268 Awards totaling \$2,565,000 	<ul style="list-style-type: none"> Missing numbers Awards totaling \$2,959,571 Students receiving aid are more successful using multiple indicators 	<ul style="list-style-type: none"> The LaGuardia Foundation provided over 5,000 awards to students in 2021-22 Awards totaling close to 4 million Students receiving aid are more successful using multiple indicators 	<p>Award over \$3M to over 3,000 students via scholarships, emergency aid, on-campus payroll, and stipend by the end of the fiscal year on June 30, 2022.</p>	<p>Surpassed</p>

Goals	Objective/ Outcomes	college Strategic Plan alignment*	Annual assessment results				Target /baseline	Indicator**
			2018-19	2019-20	2020-21	2021-22		
Goal 3: Secure and steward financial support from corporate, institutional, and government funders, in support of college programs and the college's mission, strategic goals, and priorities.	Objective 3.1 Maintain grants and contracts three-year rolling weighted average at \$16M or more.	1 - Build Student Access and Success	In FY19, the grants and contracts 3-year rolling weighted average we \$16,702,579 (as reported via ACE Strategic Plan reporting)	In FY20, the grants and contracts 3-year rolling weighted average we \$16,697,370 (as reported via ACE Strategic Plan reporting)	In FY21, the grants and contracts 3-year rolling weighted average we \$16,638,134 (as reported via ACE Strategic Plan reporting)	•In FY22, the college was awarded a record-breaking \$22,603,737 (*preliminary) in multi-year grants and contracts. The FY22 3-year rolling weighted average is \$19,673,219 (*preliminary)	Maintain grants and contracts three-year rolling weighted average at \$16M or more.	Surpassed
	Objective 3.2 - At least 65% of proposals submitted to external sources will request at least \$100K in funding				Grants goal - was merged with Development only in 2020-21	AES assessment for grants started in 2021-22strated	The college submitted 36 external proposals, - 25 major proposals (69%) were over \$100,000. with 7 proposals over \$1 million	At least 65% of proposals submitted to external sources will request at least \$100K in funding

b. Evaluate the Annual Assessment Trend Data

In FY22, the Grants Development Department was moved from the Division of Adult & Continuing Education into the Division of Institutional Advancement. In this restructure, the Grants Development Department was absorbed within LaGuardia’s Development Department.

In FY23, the Grants Development Department rebranded as “Grants & Sponsored Programs” (GSP) and moved from Institutional Advancement into the Division of Administration. In this transition, GSP separated from the Development Department in Institutional Advancement, becoming two distinct departments yet again. Due to this departmental split, the following goals and objectives from the FY22 annual assessment report are no longer relevant to the operations of GSP unit:

Goal 1: Expand relationships required to fund the LaGuardia Community College Foundation programs through cultivation of existing and prospective donors.

Objective 1.1: Cultivate relationships with existing and prospective donors (annual donors and major donors) to achieve current fiscal year campaign goal: Tomorrow Challenge Campaign

Goal 2: Provide students with financial assistance from funds raised by the LaGuardia Community College Foundation to build student success.

Objective 2.1: Provide Foundation-funded awards to students via scholarships, emergency aid, on-campus payroll, and stipends.

Removing these goals and objectives from future annual assessments leaves only one goal from the last annual assessment report that is directly related to GSP activities, with two relating objectives. For each of these objectives, targets were specified and achieved in FY22. These measures were appropriate and consistent with the objectives, as the objectives were written in a way that already included the specified targets:

GOAL 3: Secure and steward financial support from corporate, institutional, and government funders, in support of college programs and the college's mission, strategic goals, and priorities.

Objective 3.1: Maintain grants and contracts three-year rolling weighted average at \$16M or more.

Target Baseline: Maintain grants and contracts three-year rolling weighted average at \$16M or more.

Objective 3.2: At least 65% of proposals submitted to external sources will request at least \$100K in funding.

Target Baseline: At least 65% of proposals submitted to external sources will request at least \$100K in funding.

The FY22 Annual Assessment Results for Goal 3 show maintenance throughout the years, in which the three-year rolling weighted average of \$16M or more was consistently met between \$16.6M and \$16.7M. However, there was significant improvement in FY22, during which the weighted average jumped to \$19,673. As the target was always met, there were no evaluation plans to adjust the unit's strategy in meeting this objective. FY22 results were influenced by a college-wide campaign to meet an anonymous donor's fundraising challenge for matched funds. During this time, the Grants Development Department worked with the Development Department (Foundation) to administer additional funds that would otherwise go through the LaGuardia Community College Foundation and not necessarily the Grants Development Department/GSP.

Based on the observed outcomes and team discussions throughout the Periodic Unit Review (PUR) process, it was agreed upon that the principle behind Goal 3, pertaining to GSP's activities and above referenced objectives, should be kept for future annual assessments. However, the unit decided to change the wording of the goal and objective to be more precise. For example, in Objective 3.1 "maintain" can be revised to "sustain" and Objective 3.2 can

include the word “ensure” so that the unit’s responsibility and role is reflected more accurately.

Additionally, the continued surpassing of the target baseline of “\$16M or more” spurred discussion if this was still an appropriate baseline that challenges the unit to continuously improve its processes and performance. Ultimately, the unit decided to increase the target baseline of objective 3.1 to a three-year rolling weighted average of \$17M or more. While this target was not reached in all past years of annual assessment results, it will allow the unit to have a five-year goal to work toward.

Team discussions also resulted in the unit deciding to update GSP’s mission. The team also developed two new goals with clearly defined objectives to support departmental operations.

c. Review the Unit’s Mission, Goals, and Objectives

Given the numerous transitions that GSP has undergone between FY19 and FY23, the unit has operated under two separate mission statements during this time:

In FY19, FY20, and FY21, while under the Division of Adult & Continuing Education, the unit adhered to the following mission statement: “The Grants Development Department at LaGuardia Community College guides and supports faculty and staff in securing and managing external funding to promote the strategic goals and priorities of the college and its individual programs.”

In FY22, once merged with the Development Department in Institutional Advancement, a new mission statement was constructed to reflect the work of both offices within the new department. This new statement was as follows: “The Mission of the Development Department is to cultivate and develop enduring relationships with individual, corporate and institutional funders to raise financial support for students through the LaGuardia Community College Foundation. Additionally, the Development Department manages and distributes funds through current and new initiatives to enhance student success.”

After review by the team, GSP has decided to return to the language of the Grants Development Department mission statement, with a few choice revisions. Primarily, the unit was renamed to reflect the activities of the whole unit as opposed to only the “pre-award” development side of activities. Thus, “Development Department” was replaced with “Grants & Sponsored Programs” to additionally reflect the “post-award” activities of the unit. Secondly, “faculty and staff” was replaced with “the LaGuardia Community” to be more inclusive of all principal investigators as well as all executive leadership that coordinate with the unit for their projects.

As a result of the PUR process, GSP has crafted the following new mission statement for FY24 and future years: **“Grants & Sponsored Programs at LaGuardia Community College guides and supports the college community in securing and managing external funding to promote the strategic goals and priorities of the college and its individual programs.”**

This new mission supports the college’s mission and overall strategic plan. It aligns directly to Goal 1: Build student access and success; Objective E: Develop new revenue streams to support student success and advance the college mission. By continually expanding the college’s external funding, GSP is strengthening learning for students, faculty and staff; enriching the student experience; building inclusive communities; and advancing career and workforce development.

During the PUR process, GSP worked on a Strengths, Weaknesses, Opportunities, Threats (SWOT) Analysis (see detailed table on next page). The discussions enabled our unit to determine which strengths and opportunities can be used to mitigate our weaknesses and threats.

As a result of the SWOT Analysis, GSP determined that to advance the efforts put forth by the college’s mission and the Administration’s goals, it prioritizes:

- thorough development and scrutiny of grant proposals to ensure compliance with the college’s policies and alignment with college priorities;
- timely grant submissions with a high standard of excellence;
- securing large grants so that funding meets the college’s required recovery rate;
- streamlining internal processes and communications to reduce administrative burden;

- maintaining a positive and approachable presence within the college community to encourage cooperation and compliance;
- sharing best practices clearly and frequently so that principal investigators have all of the tools needed to smoothly run their projects and programs.

Future direction and initiatives that will take place in FY24 and beyond include: implementation of a new electronic research administration system (through CUNY); collaborative prospect research and outreach with the President’s Office and Development Department in Institutional Advancement; and restructuring GSP staff roles to reflect portfolio management of projects throughout their full life cycle (as opposed to splitting pre-award and post-award activities among different teams). GSP has recently begun working with a Grant Manager and Writer within the Division of Adult & Continuing Education and is currently supporting the search for the same position within Academic Affairs.

Furthermore, the SWOT Analysis process aided us in finalizing three goals and six objectives to accurately reflect the unit’s direction and core values while supporting the priorities of our division and the college. The three goals tie directly to the major operations of the unit encompassing pre-award management (proposal submission stage), post-award management (once the funds are awarded), and enhancement of policies and procedures for efficient daily operations. These six objectives reflect initiatives and activities that will ensure progress of unit level and institutional strategic goals. All goals and objectives correlate to the findings of the SWOT Analysis, in order to have clearly defined actions that shift weaknesses and threats into future strengths and opportunities.

Goal 1: Raise funds to support the college's mission, by achieving desired grant amounts.

This goal was revised from the unit’s previous “Goal 3.” Wording was changed to remove reference to the specific funding sources and to streamline the goal. This goal supports the college’s strategy plan Goal 1.E.: “Develop new revenue streams to support student success and advance the college mission.”

Objective 1.A. Ensure that the majority of proposals submitted to external sources request at least \$100K in funding.

This objective matches with the previous “Objective 3.2.” The unit determined that this objective is a critical component of the unit’s pre-award work that should remain in our strategic plan and annual assessments. Administration for each proposal requires a substantial amount of pre-award and post-award effort. By prioritizing larger proposals of over \$100K or more, the unit is ensuring that its resources are going towards projects that will have the biggest impact in supporting college initiatives.

During the SWOT Analysis discussion, it was recognized that the number of employees in our unit has decreased over the past years. GSP is a small team with a very high work volume. In order to fulfill this objective, the unit will need to explore staffing options to support its pre-award team, including onboarding the new ACE Grant Manager and Writer who will be instrumental in proposal development and submission for ACE projects. The unit also anticipates working with an AA Grant Manager and Writer, to be hired, to support grant initiatives in academic affairs. In addition, the unit recognizes that there is an opportunity to have more regular communication and/or meetings with divisional leadership. These meetings will facilitate targeted prospecting of opportunities, to ensure that GSP’s resources are more efficiently allocated toward larger proposals.

Objective 1.B. Sustain grants and contracts three-year rolling weighted average.

This objective matches with the previous “Objective 3.1.” The unit determined that this objective is important to the unit’s pre-award work and should remain in our strategic plan and annual assessments. The three-year rolling weighted average represents the steady stream of funding awarded to support the college’s training programs, and student support initiatives and research activities. Increased external funding enables LaGuardia to expand its existing programs and resources for students, and to create new opportunities for them to progress toward graduation and succeed in their chosen careers. It is also used to measure our grant-seeking success and standing among the CUNY colleges.

Although GSP is a small team, with pressing deadlines and high work volume, the unit has demonstrated a consistent and successful track record of securing external funding and meeting and even surpassing our 3-year weighted average funding goals. In order to achieve this objective with a higher 3-year average, the unit will need to complete similar activities to meeting Objective 1.A, including restructuring staff roles and enlisting additional pre-award staff support, strategic planning with divisional leadership, and targeted grant prospecting for larger proposals that support multi-year projects.

Goal 2: Ensure grant funds are expended in compliance with all relevant rules, regulations, and requirements.

This is a new goal developed by GSP team during the departmental PUR meetings and the SWOT Analysis. It also supports college strategic plan Goal 1.E. and the development of new revenue streams. It is critical that all new funding is administered in a way that is compliant with sponsor, federal, state, and city regulations. To ensure this compliance, GSP works with RFCUNY as the main stewards of awarded funds for grant sponsored projects. RFCUNY has its own established policies and procedures for the college to assist in ensuring compliance with overarching federal regulations. In addition, GSP work closely with individual PIs and other project staff, to ensure they understand and follow all rules, regulations, and requirements.

When funds are not expended in compliance with all regulations, the college is in jeopardy of losing its funding and related support for these programs. This could lead to legal and financial liability with sponsors and federal, state, and/or city agencies; endangers current and potential future funding; and also risks reputational harm for the college and its PIs.

Objective 2.A. Ensure compliance with faculty and staff effort notices.

This objective ties directly to Goal 2 since effort reporting is a process mandated by the federal government. Effort is the portion of time spent on a particular activity, expressed as a percentage of the individual's total activity for the university. It verifies that direct labor charges to, or cost shared on, sponsored projects are accurate, timely, and reflect the actual level of work performed.

The Staff Effort Notice (SEN) is RFCUNY's mechanism by which the percent of effort and amount funded by the grant is documented and charged to the sponsor. In order for the college to receive reimbursement from sponsored funds for associated staff effort, a SEN must be submitted for each individual released from their salaried activities during the fiscal year. SENs ensure timely and accurate reporting and processing of an employee's obligation to the grant.

During the GSP SWOT meeting, the team discovered that the timeliness of SEN submissions to RFCUNY is an area that needs improvement. While RFCUNY has mechanisms for GSP to track effort certification by PIs once the semester ends, a system to track if the actual SEN is completed and submitted in a timely manner does not exist. Given the lack of a tracking system, historically, SENs were submitted late, or were submitted with an inaccurate effort percent, leading to the extra administrative task of justification letters and modified SEN submissions. In order to ensure compliance and manage SEN tracking more effectively, this new objective was created.

Objective 2.B. Provide onboarding support, education, and guidance to PIs.

This objective ties directly to Goal 2 since PIs of new grants are often unfamiliar with the compliance requirements and multiple layers of regulations that exist while managing a sponsored award. The GSP SWOT Analysis revealed that PIs often do not take accountability with managing their projects, or misunderstand GSP role or have unrealistic expectations of how GSP is involved in post-award administration. It is the PIs responsibility to manage the award, however, they may lack the specific skillset or knowledge to do this in a manner that ensures regulatory compliance.

This objective is key for the success of the PI and the project as a whole. The GSP team will share its experience and knowledge with PIs to support, educate and guide PIs throughout the grant period. This objective will ensure that PIs understand their responsibilities in managing the project, as well as the policies, practices and procedures specific to their grant. A customized checklist of key areas – with links to further resources – will be reviewed during the “kickoff” meeting with the PI, and GSP staff will be available to answer questions on an ongoing basis.

PI onboarding will occur at the start of a project period between PIs and GSP staff so that expectations and responsibilities are clearly set at the start, and GSP has proactively taken steps to mitigate common issues during the project period. The creation of an onboarding checklist will also ensure that GSP staff is sharing consistent guidance to all PIs across the college.

Goal 3: Develop internal processes, procedures, and systems to streamline communication and reduce administrative burdens.

This is another new goal developed by the GSP team, which also supports the college's strategic plan Goal 1.E. This goal is essential for the unit since GSP is a small team supporting grant proposals and grant administration for the entire college. The unit requires updated internal and streamlined systems and procedures in order to efficiently and effectively submit new proposals, which will bring funding into the college to support student success and the college's mission.

The SWOT Analysis revealed that given the high work volume to staff ratio, lack of downtime, and the pressing deadlines built into projects and proposals, our internal processes and systems required further evaluation and updates. A lack of streamlined procedures may lead to administrative burden and miscommunication in all areas.

Objective 3.A. Execute new CUNYeRA (Cayuse) Implementation Plan

Given the lack of electronic systems, this objective is vital to Goal 3 of streamlining the grant management lifecycle from proposal submissions through award closeout. The web-based Cayuse software package will help to organize and simplify the preparation of electronic proposal submissions, as well as support non-financial post-award and research compliance activities. Currently, individual colleges and schools each have their own procedures for managing pre-award activities and the related compliance elements of grants research administration. The implementation of a centralized system will reduce the administrative burden on faculty and staff PIs and reduce risks for both individual institutions and the University as a whole. It will also replace GSP's current Proposal

Development Questionnaire (PDQ) process for obtaining multi-level approval for applications prior to submission.

Objective 3.B. Cross-train staff across departmental functions

This objective directly supports Goal 3 because it will ensure a streamlined workflow, regular communications, and increased skills and knowledge within GSP unit. The cross-training initiative will ensure that there is more than one person on the team who is knowledgeable in specific key areas and has access to related systems and tools, as needed. Cross-training will improve the quality and consistency of guidance provided by the unit, as well as facilitate shortened response times and provide backup when staff are on leave.

The GSP unit has a share drive in which it keeps all documents related to processes and procedures as well as training materials. By initiating this cross-training objective, we will be able to review these documents and update them accordingly. This will strengthen the knowledge base of the team and will enable us to provide high quality grant administration support to all divisions within the college.

GSP
FY23 SWOT ANALYSIS

Strengths:

1. Each staff member has specific skillsets and areas of expertise or sponsor-specific knowledge
2. New space on fifth floor of E-building, accessible for external guests, space for teambuilding events
3. Small team (ease of communication and collaboration)
4. Consistent performance/reliable and proven track record of securing funds
5. Efforts are supported by college Leadership (due to track record and performance)
6. Resources are available for RFCUNY processes coordinated/managed by Grants team
7. Team has established cross-divisional and external relationships

Weaknesses:

1. Some specific skillsets/knowledge exists only among specific staff members (i.e., only one person on team familiar with a particular process)
2. High work volume to staff ratio and lack of down time (no slow season) to conduct system/process evaluation and updates
3. Role of Grants team could be more clearly communicated to college stakeholders
4. Difficulty streamlining or solving issues with multiple college units involved (+ RFCUNY)
5. Small team delays team member assignment to Principal Investigators' (PIs) proposals

Opportunities:

1. More regular communications/meetings with VPs, Provost, Deans re: grant priorities
2. Utilizing new space for inter-/intra- departmental purposes
3. Cross-training of staff within the unit
4. Existing staff in ACE and AA providing grant support to PIs
5. New/potential staff in ACE and AA to provide additional support – Grant Writer/Managers
6. Using RFCUNY resources as templates to help PIs (e.g., web reports for budget tracking)

Threats:

1. Time constraints / pressing deadlines built into projects and proposals
2. Late notice from PIs on planned proposals and challenges enforcing internal deadlines
3. Lack of time and opportunities for cross-training
4. PIs may misunderstand Grants team's role and authority or have unrealistic expectations
5. PI accountability with managing their projects
6. Decentralization in other divisions adds confusion re: tasks involving multiple units/entities
 - a. Lack of awareness of staff changes and point people in other divisions
 - b. Other divisions unclear or unaware of Grants team's role in grant/project administration processes vs. PIs role (and their department/division)
7. Multiple PIs may wish to apply for the same opportunity – priority setting at college level
8. Overarching budget cuts to the college, unfilled vacancies, little to no departmental discretionary funds

Year 2024 - 2025 Annual Assessment Plan

Mission: The GSP team at LaGuardia Community College guides and supports the college community in securing and managing external funding to promote the strategic goals and priorities of the college and its individual programs.

Phase 1 - goals and objectives			Phase 2 -measures and activities			
Goal	Strategic Plan Goals	Objective/ Outcome	Method/ Measure	Year 1 Activities	Cross-Divisional Collaboration	Annual Targets
Goal 1: Raise funds to support the college's mission, by achieving desired grant amounts.	1 - Build Student Access and Success e. Develop new revenue streams to support student success and advance the college mission.	Objective 1.A. Ensure that the majority of proposals submitted to external sources request at least \$100K in funding.	Success assessed by: <ul style="list-style-type: none"> • Number of proposals submitted requesting \$100K or more in funding. • Number of total proposals submitted. • Percentage of proposals submitted that request \$100K or more in funding. 	<ul style="list-style-type: none"> - Onboard new ACE Grant Manager & Writer - Explore hiring new Academic Affairs Grant Manager & Writer - Initiate strategic planning meetings with Divisional VPs of AA, ACE, and SA focused on the division's funding priorities and needs. - Establish a regular meeting schedule with AA, ACE, and SA key support staff - Targeted grant prospecting 	President's Office Academic Affairs Student Affairs Administration ACE	<ul style="list-style-type: none"> • 65% of grant requests with \$100K (target for five-year duration of assessment plan)
		Objective 1.B. Sustain grants and contracts three-year rolling weighted average.	Success assessed by: <ul style="list-style-type: none"> • Three-year rolling weighted average 	<ul style="list-style-type: none"> - Onboard new ACE Grant Manager & Writer - Explore hiring new Academic Affairs Grant Manager & Writer - Initiate strategic planning meetings with Divisional VPs of AA, ACE, and SA focused on the division's funding priorities and needs. - Establish a regular meeting schedule with AA, ACE, and SA key support staff - Targeted grant prospecting 	President's Office Academic Affairs Student Affairs Administration ACE	Maintain three-year rolling weighted average of \$17M or more.

Goal 2: Ensure grant funds are expended in compliance with all relevant rules, regulations, and requirements.	1 - Build Student Access and Success e. Develop new revenue streams to support student success and advance the college mission.	Objective 2.A. Ensure compliance with faculty and staff effort notices.	Success assessed by: <ul style="list-style-type: none"> • Number of projects/awards with Staff Effort Notices required for the year. • Number of Staff Effort Notices prepared within 90 days of project account establishment 	<ul style="list-style-type: none"> - Create tracking system for Staff Effort Notices - Use guarantees to allow Staff Effort Notices to be completed early in the project period 	All faculty and staff (active PI signatures required)	<ul style="list-style-type: none"> • 60% of awards requiring Staff Effort Notices completed within 90 days of account establishment (percentage to be evaluated in subsequent years)
		Objective 2.B. Provide onboarding support, education, and guidance to PIs.	Success assessed by: <ul style="list-style-type: none"> • Number of awards • Number of new projects with onboarding completed • Percent of newly established accounts that complete an onboarding with their assigned Grants Specialist. 	<ul style="list-style-type: none"> - Create tracking system for onboarding meetings with PIs - Schedule onboarding meetings with PIs upon project account establishment - Regular internal meetings to identify areas in which PIs require more training 	All faculty and staff (potential PIs) Office of Institutional Research and Assessment	<ul style="list-style-type: none"> • 85% of new awarded projects have a completed onboarding (percentage to be evaluated in subsequent years)
Goal 3: Develop internal processes, procedures, and systems to streamline communication and reduce administrative burdens.	1 - Build Student Access and Success e. Develop new revenue streams to support student success and advance the college mission.	Objective 3.A. Execute new CUNYeRA (Cayuse) Implementation Plan	Success assessed by: <ul style="list-style-type: none"> • Schedule of CUNY eRA implementation plan 	<ul style="list-style-type: none"> - Preparation of records for future eRA integration - Following whatever activities are laid out in the Implementation Plan provided for that year 	CUNY Central	Completed on schedule (Y/N)

		Objective 3.B. Cross-train staff across departmental functions.	<p>Success assessed by:</p> <ul style="list-style-type: none"> • Number of staff trained on each function within the department and able to perform related activities. • Percent of total departmental functions that have more than one staff person trained in that area. 	<p>D - Creating a list of all functions within the department</p> <ul style="list-style-type: none"> - Assessment of staff competency against aforementioned list - Review of existing training materials 	N/A	<ul style="list-style-type: none"> • 20% of listed items have paired staff trained. (Increase target percentage each year)
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d. Measures and Associated Targets

The revised goals and objectives have the following measures linked to their target baselines, to determine if the unit has surpassed, met, or failed to meet each of these objectives:

Goal 1: Raise funds to support the college’s mission, by achieving desired grant amounts.

Objective 1.A: Ensure that the majority of proposals submitted to external sources request at least \$100K in funding.

Measure: Number of proposals submitted requesting \$100K or more in funding; number of total proposals submitted; percentage of proposals submitted that request \$100K or more in funding.

Annual Target: 65% of grant requests with \$100K

These measures are clearly linked to the objective because they determine directly and quantitatively how many proposals submitted request at least \$100K or more. GSP already uses a MS Teams Excel spreadsheet, titled “Grant Tracker,” to record all details of proposal submissions. This tracker includes proposal status of submission, submission dates, and requested amount included in the submission; therefore, all data needed for measuring this objective already exists and can be easily pulled and reported on.

From these measures, we can divide the number of proposals submitted requesting \$100K or more by the total number of proposals submitted that year in order to calculate the percentage of proposals submitted that request \$100K or more in funding. A value of 50% or greater would indicate that the majority has met this threshold, and thus meet the spirit of this objective. However, the team has decided to set 65% as a minimum outcome/value to represent success and as our annual target for five-year duration of the assessment plan.

Objective 1.B: Sustain grants and contracts three-year rolling weighted average.

Measure: Three-year rolling weighted average.

Annual Target: Maintain three-year rolling weighted average of \$17M or more.

This measure is directly linked as a quantitative measure of the objective. The three-year weighted rolling average of total grant awards is calculated by weighing the current fiscal year grant total at 50%, the prior fiscal year total at 30% and the previous fiscal year at 20%. Annual award amounts and three-year rolling weighted averages will be calculated based on data provided to CUNY by the Research Foundation of CUNY.

The Year 1 annual target has been set at a minimum of \$17M for this objective to be considered met and successful. This number is based on historic three-year rolling weighted averages achieved by the unit. Between 2018 and 2021, values for this objective ranged from \$16,638,134 to \$16,702,579. In 2022, the unit was able to reach \$19,673,219; however, this higher amount was influenced by a large-scale fundraising campaign that has now concluded. The previous annual target for this objective was set at \$16M, but because that threshold has been consistently surpassed, the unit has determined that \$17M would be a more aspirational target to encourage departmental improvement. This target will be evaluated on an annual basis to determine if \$17M is still an accurate threshold.

Goal 2: Ensure grant funds are expended in compliance with all relevant rules, regulations, and requirements.

Objective 2.A: Ensure compliance with faculty and staff effort notices.

Measure: Number of projects/awards with Staff Effort Notices required for the year; number of Staff Effort Notices prepared within 90 days of project account establishment

Annual Target: 60% of awards requiring Staff Effort Notices completed within 90 days of account establishment.

This quantitative measure is directly linked to the objective. Determining the percent of awards which have SENs completed within 90 of account establishment will help to measure and ensure compliance. This measure has never been tracked by GSP unit, so the data collected in Year 1 will be considered baseline data. During a GSP PUR team

meeting, it was decided that 60% should be the baseline annual target as it is a reasonable starting point, as we being working toward this goal.

In order to track this percentage, GSP will add additional columns within the existing MS Teams Excel spreadsheet titled “Post-Award Active Awards Tracker.” For each active award, 3 new columns will be developed:

1. **SEN Due Date** (within 90 days of project start date), which will be a formula-based cell to calculate 90 days from the budget period start date cell;
2. **SEN Date Completed**, where the grant specialist will enter the date in which the SEN was submitted to RFCUNY for processing, or will enter “N/A” if there is no SEN required on that account;
3. **SEN Done Within 90 Days**, which will be a formula-based cell:
 - formula that will say "TRUE" if the date submitted is before or equal to the due date column;
 - formula will say "FALSE" if it's after the due date column;
 - formula will automatically say "N/A" if the previous column is "N/A";
 - Will say "SEN still needed/not submitted" if there is a due date in the deadline column, but no value in the submitted column.

From these measures, we can calculate the number of True / False / N/A to determine how many were done on time of projects that require SEN submission. The number of “True” vs. the total number requiring an SEN (“True” or “False”) will then be calculated into a percentage. If the percentage is at 60% or more, then we have met or surpassed our target. Upon calculating the percent at the end of Year 1, the unit will re-evaluate the annual target to determine if it is an accurate figure to use for Year 2.

Objective 2.B: Provide onboarding support, education, and guidance to PIs.

Measure: Number of awards; number of new projects with onboarding completed; percent of newly established accounts that complete an onboarding with their assigned Grants Specialist.

Annual Target: 85% of new awarded projects have a completed onboarding.

Calculating the percentage of new awards that complete an onboarding meeting is a direct quantitative measure for this objective. Similar to objective 1.A, this a measure that the unit has never tracked before, and will therefore begin with a target of 85% as a baseline measure.

In order to track this percentage, GSP will add an additional column within the existing MS Teams Excel spreadsheet titled “Post-Award Active Awards Tracker.” The column will be labeled “Kickoff” and each grant specialist will select “Yes” or “No” for each account. From this column, we can calculate the number of “Yes” vs. the total number of new awards and turn that into a percentage. If the percentage is at 85% or more, then we have met our target. Again, after Year 1, this target percentage will be evaluated to ensure it is both realistic yet increasing.

Goal 3: Develop internal processes, procedures, and systems to streamline communication and reduce administrative burdens.

Objective 3.A: Execute new CUNYeRA (Cayuse) Implementation Plan

Measure: Schedule of CUNY eRA implementation plan

Annual Target: Completed on schedule (Y/N)

The Office of Research at CUNY Central, along with assigned Cayuse staff, will directly provide GSP with the activities and next steps outlined in the new CUNYeRA Implementation Plan. These action items, along with associated deadlines, will be communicated to GSP Director Laura Bartovics. The specifics of these action items, their timing, and their functions may vary. GSP is committed to completing the execution plan on time and will assess its success of Objective 3.A based on adherence to the provided schedule each year using a "Yes"/"No" measure.

To monitor progress, GSP has established an internal Cayuse eRA Working Group. This group will convene weekly, or more frequently as necessary, to assess the required next steps and the current status of their completion.

Objective 3.B: Cross-train staff across departmental functions.

Measure: Number of staff trained on each function within the department and able to perform related activities; percent of total departmental functions that have more than one staff person trained in that area.

Annual Target: 20% of listed items have paired staff trained (Increase target percentage each year).

Objective 3.B aims to enhance departmental efficiency by fostering cross-training among staff across various functions. To track progress towards this objective, GSP team will first compile a comprehensive list of departmental functions, processes, and key specialized knowledge areas that require cross-training. Once this list is created and agreed upon by the full team, the team will assess the baseline number of staff members who are trained on each item and capable of independently executing related tasks. Each year, GSP will evaluate the percentage of total departmental functions for which more than one staff member is trained in that area. These measures directly align with the objective by providing concrete insights into the level of cross-training achieved within the department.

The annual target, set at 20% of listed items having at least two staff trained, serves as a baseline for progress in Year 1. The target percentage is slated to increase each year, reflecting the continuous improvement and expansion of cross-training initiatives within the unit. Ideally most functions by the end of five years will have more than one staff member trained in that area.

GSP will develop training materials and conduct training sessions tailored to the functions outlined, incorporating hands-on learning experiences and resources. Concurrently, the team will establish a tracking system to monitor staff participation in training sessions and their proficiency in executing related activities. Furthermore, regular reviews and monthly team meetings will be conducted to continuously evaluate evolving departmental needs and objectives.

e. Specify the Unit's Strategies for Improvement, including Required Resources

Goal 1: Raise funds to support the college's mission, by achieving desired grant amounts	Activities/Strategies	New Resources needed	Leading person
Objective 1: Ensure that the majority of proposals submitted to external sources request at least \$100K in funding.	<ol style="list-style-type: none"> 1. Onboard new ACE Grant Manager & Writer 2. Explore hiring new Academic Affairs Grant Manager & Writer 3. Initiate strategic planning meetings with Divisional VPs of AA, ACE, and SA focused on the division's funding priorities and needs. 4. Establish a regular meeting schedule with AA, ACE, and SA key support staff 5. Conduct targeted grant prospecting 	<ol style="list-style-type: none"> 1 and 2. Funding from 9th ledger grant recovery 3. Time and collaboration with Divisional VPs 4. Time and collaboration with key support staff 5. List of college priorities identified in meetings with VPs (3# above) 	<ol style="list-style-type: none"> 1. Laura, Carrie and Tannie 2. Laura, Carrie and Jessica 3. Laura 4. Tannie, Jessica and Randi 5. Devon, new AA Grant Manager & Writer
Objective 2: Sustain grants and contracts three-year rolling weighted average.	<ol style="list-style-type: none"> 1. Onboard new ACE Grant Manager & Writer 2. Explore hiring new Academic Affairs Grant Manager & Writer 3. Initiate strategic planning meetings with Divisional VPs of AA, ACE, and SA focused on the division's funding priorities and needs. 4. Conduct targeted grant prospecting 	<ol style="list-style-type: none"> 1 and 2. Funding from 9th ledger grant recovery 3. Time and collaboration with Divisional VPs 4. List of college priorities identified in meetings with VPs (3# above) 	<ol style="list-style-type: none"> 1. Laura, Carrie and Tannie 2. Laura, Carrie and Jessica 3. Laura 5. Devon, new AA Grant Manager & Writer
Goal 2: Ensure grant funds are expended in compliance with all relevant rules, regulations, and requirements	Activities/Strategies	New Resources needed	Leading person
Objective 1: Ensure compliance with faculty and staff effort notices	<ol style="list-style-type: none"> 1. Create tracking system for Staff Effort Notices 2. Use guarantees to allow Staff Effort Notices to be completed early in the project period 	<ol style="list-style-type: none"> 1. Time: Update post award tracker to include columns for SEN due dates and completion dates 2. When applicable, this will be a communication between GSP and the PI 	<ol style="list-style-type: none"> 1. Jessica and Randi 2. Grant specialist as applicable
Objective 2: Provide onboarding support, education, and support to PIs	<ol style="list-style-type: none"> 1. Create tracking system for onboarding meetings with PIs 2. Schedule onboarding meetings with PIs upon project account establishment 3. Regular internal meetings to identify areas in which PIs require more training 	<ol style="list-style-type: none"> 1. Time 2 and 3. This will be a communication between the grant specialist and PI/project team 	<ol style="list-style-type: none"> 1. Jessica and Randi 2 and 3. Grant specialist

Goal 3: Develop internal processes, procedures, and systems to streamline communication and reduce administrative burdens	Activities/Strategies	New Resources needed	Leading person
Objective 1: Execute new CUNYeRA (Cayuse) Implementation Plan	1. Preparation of records for future eRA integration 2. Following whatever activities are laid out in the Implementation Plan provided for that year	1. Time and collaboration within GSP unit 2. Collaboration within GSP unit and with CUNY Office of Research and the Cayuse representatives.	1. GSP team 2. Laura and Jessica
Objective 2: Have staff cross-trained across departmental functions	1. Creating a list of all functions within the department 2. Assessment of staff competency against aforementioned list 3. Review of existing training materials	1, 2 and 3: Time and collaboration within GSP unit	1. Jessica, Randi and Tannie 2. Laura 3. Jessica, Randi and Tannie

f. External Review

External reviewers of this PUR report provided two recommendations to incorporate into the GSP team’s strategic planning:

1. Consider a plan establishing a clear internal submission system that promotes prompt and timely submission of proposal materials from other college units to the GSP Office.

GSP acknowledges the benefits of such a proposed system; however, the unit will not formally include this in our new goals and objectives because the exact implementation of the Cayuse system is still unclear. Once Cayuse is fully implemented and GSP staff are trained on its functionalities, GSP will reconsider internal submission system processes and timelines.

While a hard deadline for grant submission is ideal, enforcing such a standard falls beyond the scope of the GSP team and would require college administration input and action.

2. Further clarify the content and format of the proposed PI Onboarding sessions.

This recommendation was accepted by the GSP team. We have already developed a checklist of topics that PIs must be aware of and trained on to manage their sponsored projects. Grant specialists assigned to each project will meet with PIs to review this

checklist to confirm PI's understanding and go into further depth for topics that require more training.

g. Conclusion

Reflecting on the unit's direction and key findings, it is evident that GSP needed to remove all goals and objectives that were specifically pertaining to Development Department activities from its AES plans, and create its own new objectives to reflect improvements to unit-specific operations. This approach is also reflected in the revised mission statement, which returns to language of the unit's mission statement prior to its merger with the Development Department. Through a thorough review process, GSP has identified key strengths, weaknesses, opportunities, and threats, leading to the development of three new goals and six new objectives. These goals encompass various aspects of pre-award and post-award management, as well as the enhancement of internal processes to streamline communication and reduce administrative burdens.

The first goal, carried over from previous strategic goals, centers on raising funds to support the college's mission by achieving desired grant amounts, with objectives aimed at prioritizing larger grant proposals and sustaining a steady stream of funding over a three-year period. These objectives necessitate strategic staffing decisions and targeted prospecting efforts to maximize the impact of GSP's pre-award activities. Based on previous assessment data specific to GSP, the team had demonstrated consistent success in meeting its primary objective of securing funding and maintaining a three-year rolling weighted average of grants and contracts at \$16M or more. The unit's ability to consistently exceed these targets indicated that the baseline set should be re-evaluated to a larger amount so that the unit can work to continuously improve its operations and reassess an aspirational amount that can still be realistically achieved.

The second and third goals are newly developed by GSP through the PUR process. The second goal focuses on ensuring grant funds are expended in compliance with all relevant rules, regulations, and requirements. Objectives include ensuring compliance with SEN submissions and providing onboarding support, education, and guidance to PIs. These objectives directly contribute to mitigating risks associated with non-compliance, safeguarding the college's

funding, and maintaining a positive reputation within the research community. Finally, the third goal aims to develop internal processes, procedures, and systems to streamline communication and reduce administrative burdens. Objectives under this goal include executing a new CUNYeRA Implementation Plan and cross-training staff across departmental functions. These initiatives are essential for enhancing operational efficiency, fostering collaboration within GSP unit, and supporting the college's broader strategic goals.

GSP took external reviewer recommendations into consideration when planning future activities. The office has begun to put together a “PI Checklist” and accompanying training materials for each listed topic, so that Grant Specialists are equipped to train PIs on necessary functions for their project management. Additionally, once the CUNY eRA Implementation Plan is completed, GSP will take steps to reconsider internal submission processes and timelines.

Overall, these strategic refinements, accompanied by clear measures and targets, demonstrate GSP's proactive approach to addressing challenges and seizing opportunities in grant development and administration. By leveraging its strengths and embracing continuous improvement, GSP is poised to play a pivotal role in advancing LaGuardia Community College's mission and supporting the success of its students, faculty, and staff.
