**MEMO**

**To**: <u>OVCA</u>: Nancy Nakasone & Janice Sunouchi (HR), Therese Nakadomari (IT), Bonnie Arakawa (Capital Projects), John Murakami (Aux Services/Events). <u>OVCAA</u>: Clinton Nishida (Academic Affairs Personnel), Adrian Lee (Academic Affairs Personnel), Princess Soares (Scheduling/Tuition waivers), Garyn Tsuru & Brandon Carlos (Early College). <u>Chancellor's Office</u>: Leila Shimokawa (Communications)

**From**: Dr. Lea Kinikini, Director Institute for Research & Engaged Scholarship (IRES)

**CC**: <u>IRES Advisory Council</u> (Chancellor Benham, Associate Vice Chancellor Alan Rosenfeld, Associate Professor Camonia Graham-Tutt, Associate Professor Esther Widiasih, Sheri Ching, Keith Suyat-Terauchi, Casi Fuellas, Donna Shaver)

**RE: GRANTS IMPROVEMENT FEEDBACK RESULTS & WAYS FORWARD, 2022-2023**

**DATE: 6/28/22**

Aloha Colleagues,

Over the last several months, the Institute for Research & Engaged Scholarship (IRES) conducted various Grants Feedback Workshops & Listening Sessions with various faculty (Principal Investigators/Project Directors) & administrative staff involved in the extramural grant process. The following matters were discussed:

- Inquiry into what processes are of concern/an issue specifically
- General Feedback on the processes
- PI/AO Self-identifying Experiences of what works/doesn't
- PI/AO Needs and suggestions for improvement
- Areas and processes requiring clarification and opportunities for testing improvements

The theory that grounds this initiative can be found on Carnegie Foundation's website around the "Six Core Principles of Improvement" which embraces the "wisdom of crowds" believing that we can accomplish more together than even the best of us can accomplish alone. This is definitely a process that involves all, and a joint effort.

It is with this spirit of collaboration and kuleana that my colleagues, Sheri Ching, Donna Shaver and myself (who work closely with the UHWO Research & Engaged Scholarship Advisory Council) are working on to facilitate and measure several solutions to improve grants processes, including upcoming trainings that are proposed to occur this summer through the fall semester with administrative staff involved in the extramural grant process and PIs/Project Directors based on processes identified during the inquiry.

We will be reaching out to you to discuss the feedback received at these Workshops and collaborate on next steps (including training to be provided). The Business Office will be taking the lead on putting together a proposed training calendar and other training sessions by other departments can also be incorporated (or combined based on what may work best).

Great suggestions resulted from these Workshops, including a request for administrative trainings, developing a faculty Handbook for better orientation to the extramural grant process, and fine-tuning or revising specific Kuali build processes to help improve process flow and documentation. I am sharing the attached summary of these Workshops with all of you in this memoranda, as areas mentioned are under your various purviews.

If you have any questions about the results from Workshops please let me know or if you would like to get involved with the IRES upcoming improvement planning processes and grants calendar for programs in your areas please do reach out.

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**Feedback Summary – PIs/Project Administrative Staff**
**Data Collected 5/25, 6/6, and 6/23/22 by IRES**
**General Feedback:**

√ Some grants Project Directors/PIs were confused on which department was responsible for which processes – is there a way to clarify where certain processes "originate" and which dept "owns" and which dept. "co-owns" or co-manages steps in the processes?

√ Faculty admitted they were not well-prepared for the project management part of the PI/PD roles, some felt that there was pressure from the "top" to take on extramural grants, some felt that the projects were developed by administrators and then Faculty were brought on later not in an inclusive way. Adding to the frustration was that once implementation started, the project upstream development was not always congruent to the practices in place, and created confusion, delays, and red tape/bureacracy whereby the funds had a difficult time being spent.

√ Faculty mentioned processes that were troubling/concerning or confusing/too much red-tape (faculty admitted they lack the awareness of time that these processes realistically take so it would be good to provide a realistic time frame on how long various processes take to manage expectations), faculty asked that AOs understand the value of research to help prioritize the research projects at UHWO that support the teaching work.

√ Project administrative staff indicated that PIs do not always follow their directions and will circumvent procedures to find a "quicker" way of doing things, but this typically causes unnecessary and additional delays.

√ Project administrative staff indicated that there is not sufficient planning done on the front end (i.e., during the proposal stage) to ensure that grant objectives are operational and may be done in the most efficient manner. Ideas are often included in the "heads" of the PIs, but not written down or communicated to project administrative staff until the last minute, which causes an unnecessary "scramble."

√ Project administrative staff indicated that improved communication with their respective PIs is necessary. PIs need to work through/with their project administrative staff.

**The following were identified as areas requiring clarification:**

1) Business Office
   a) Understanding various procurement methods (including small purchases/superquote and sole source) and procedures to be followed for each
   b) Student Payments
      i) Stipends (Prizes/Cash Awards) – Impact of Financial Aid
      ii) Payroll – Timesheet Process/Deadlines (understanding roles/responsibilities of approvers and importance of abiding by deadlines to avoid untimely timesheet processing leading to a delay to student paychecks). NOTE: This does not include procedures related to hiring/placement of student employees, as this is under the purview of the Office of Student Affairs.
   c) Fee for Services (including examples on how to process an external evaluator agreement)
   d) Travel (for students and employees)
   e) Honorarium (for guest speakers)
   f) Non-employee payments (e.g., travel, conference registration)
   g) Monthly account reconciliations – understanding how to read/interpret/utilize
2) Human Resources / Academic Affairs
   a) Procedures (including explanation on how rates are calculated and limitations) for the following:
      i) Buyouts
      ii) Overloads
         (1) Overload not allowed during academic year from extramural grants/awards
         (2) How to calculate overload rates during the summer (e.g., partial month)
         (3) Overload rate limitations during the summer
         (4) Faculty voiced concerns over untimely processing of summer overloads
   b) Hiring Procedures
      i) Lecturers (during academic year and summer—for Early College and non-Early College courses that are sponsored by a grant)
      ii) Casual Hires
3) IT
   a) Procedures on completing a Technology Service Request (for the purchase of software, laptops, cameras, subscriptions)
   b) Reason for justifications
4) Facility/Project Requests

a) Explanation of process
5) Facility Use Requests
   a) Explanation of process
6) Communications
   a) What needs to run through Communications for review/approval?
   b) What is the review/approval process?
7) Establishment of Summer Bridge Courses
   a) Process flow?
   b) SOC-003
      i) How is this completed?
      ii) What is this information used for?
   c) Hiring process?
   d) Timing?  When should this process begin to establish a summer bridge course?
   e) Early College MOA preparation (when paid for by a grant)?


**Suggested Needs from IRES & AOs – VCAA and Student Affairs who work on extramural projects:**
   √ Additional administrative areas and processes that Admin Offices can point to that new faculty and grant officers need to work on? What admin areas, issues and processes are problematic?

Suggestions for Improvements from both PIs and AOs:
   √ Faculty Suggested that a Handbook for PIs be developed.
      o Include budget guidelines (e.g., honorarium may not be paid to employees, difference between student employment and student stipends, overload limitations on grant funds, etc.)
      o What types of costs require pre-approval by the Program Officer?
      o Include links and highlights from the ORS training (include explanation of PIs responsibilities).  Recommend what sections from the ORS training should be viewed by new and prospective PIs or as a refresher for seasoned PIs.
   √ Faculty suggested training sessions for AOs.
      o Training sessions should be interactive.  Scenarios provided by AOs and worked through together in small groups.

√ Faculty need capacity-building in project management skills, realistic expectations, admin support in budgets – the front end new IRES/faculty hire should have project development officer skills to help lift project management on the front end (i.e. helping faculty members develop and organize the project i.e. forecast administrative timelines, gather bids, help write position descriptions, draft memos, table timelines, help craft a project plan that is realistic and inclusive of correct fiscal, administrative, hiring, procurement processes & have a "warm handoff" to the project AO once awarded)

√ During the proposal process, IRES should facilitate meetings/collaboration with various administrative offices (as applicable)—including the Business Office (overall budget), Human Resources (personnel matters including any types of employee compensation), Academic Affairs (faculty compensation—buyout, overloads; summer bridge courses, Early College), IT (purchase of IT equipment/software), Facilities/Capital Improvement (usage of space, renovations, etc.).

√ For the grant process (post award):
  o Kick-off meeting with PI, project admin staff, and various administrative offices as necessary (i.e., Business Office, HR, Academic Affairs, IT, facilities, etc.) once grant is awarded to ensure everyone is aware of what is planned on the grant and to obtain preliminary plans on operationalizing.
  o Periodic (e.g., weekly, monthly, quarterly dependent on the implementation plan) meetings between the PI and project admin staff to ensure admin staff are shared plans by PI (to prevent last minute scrabbles) and admin staff can also share status updates with the PI.
  o Communication between PI and administration about what may be institutionalized by the campus due to grant end. This will need to be budgeted in the campus operational budget accordingly.

√ Consider creating Kuali Build documents to assist in gathering necessary information/paperwork from PIs/faculty for certain processes (e.g., honorariums).

√ Revise the Kuali Build overload request form to include all requested information included on the overload memo (i.e., date(s) work performed, scope of work, etc.), which should be approved by the PI. This would initiate the overload process if not based on credits taught.

√   Business Office will convene monthly meetings with AOs to discuss issues to allow for collaboration and information sharing.  Other OVCA offices will be invited as necessary.

Focus Group Workshop Flyers







Cited Resources

Carnegie Foundation for Advancement of Teaching, "Improvement Science", Online:
https://www.carnegiefoundation.org/our-ideas/six-core-principles-improvement/.
Accessed 6/22/22.

# The Six Core Principles of Improvement

## 1. Make the work problem-specific and user-centered.

It starts with a single question: "What specifically is the problem we are trying to solve?" It enlivens a co-development orientation: engage key participants early and often.

## 2. Variation in performance is the core problem to address.

The critical issue is not what works, but rather what works, for whom and under what set of conditions. Aim to advance efficacy reliably at scale.

## 3. See the system that produces the current outcomes.

It is hard to improve what you do not fully understand. Go and see how local conditions shape work processes. Make your hypotheses for change public and clear.

## 4. We cannot improve at scale what we cannot measure.

Embed measures of key outcomes and processes to track if change is an improvement. We intervene in complex organizations. Anticipate unintended consequences and measure these too.

## 5. Anchor practice improvement in disciplined inquiry.

Engage rapid cycles of Plan, Do, Study, Act (PDSA) to learn fast, fail fast, and improve quickly. That failures may occur is not the problem; that we fail to learn from them is.

## 6. Accelerate improvements through networked communities.

Embrace the wisdom of crowds. We can accomplish more together than even the best of us can accomplish alone.

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To learn more about how the six principles guide our work, check out *Learning to Improve: How America's Schools Can Get Better at Getting Better* (and read *Harvard Education Review's* comprehensive summary of the book).
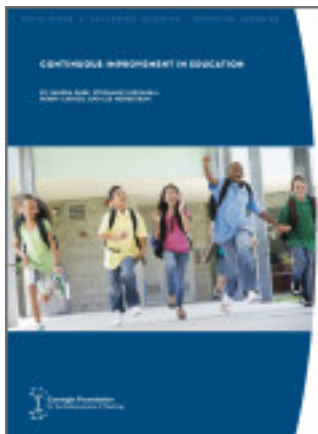
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## PUBLICATIONS



## [Getting Ideas into Action: Building Networked Improvement Communities in Education](#)

This essay proposes science of improvement research and the idea of a networked improvement community as an alternative R&D method to create the purposeful collective action needed to solve complex educational problems currently faced.



## [Continuous Improvement in Education](#)

Continuous Improvement in Education, a white paper, provides examples that illustrate how continuous quality improvement methodology is being applied in education from the classroom level to the systems level.

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