Supporting Faculty Research and Scholarship

A Survey of Faculty Needs in Support of Externally Funded Research and Scholarship (2009-2010)

A Collaborative Project of Academic Affairs and the Faculty Subcommittee on Sponsored Projects

By

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Executive Summary

Support of faculty scholarship and research is an essential, but historically undervalued, ingredient for achieving academic excellence at Sonoma State University (SSU). Facilitating faculty efforts to obtain resources to support their scholarship and research will enhance SSU's: 1) reputation for academic excellence, 2) recruitment and retention of excellent faculty who value engaging students in scholarly pursuits and research activities, and 3) resource base to support excellence in teaching and learning; all objectives articulated in the recently adopted strategic plan for Academic Affairs. The results of this survey suggest specific targets for institutional investment that will help SSU achieve these objectives and its institutional mission.

Recommended priorities for institutional investment:

o   Enhance the capabilities of the Office of Research and Sponsored Programs (ORSP) to identify appropriate funding sources and develop faculty grant-writing skills

o   Increase internal "seed money" to encourage scholarship and research that may help provide leverage for external funding

o   Create a balanced faculty workload formula that recognizes the importance of scholarship and research

o   Encourage submission of grant proposals (especially those including research and scholarship with students)

o   Reinvest a portion of recovered indirect costs to support grant- related workload of PIs and department and school staff

o   Communicate, promote and celebrate the scholarship and research accomplishments of SSU's faculty

o   Improve mentoring opportunities in the grant-writing process

o   Develop better communication, collaboration and trust between Sponsored Programs Administration (SPA) and Principle Investigators (PIs) to meet both fiduciary and intellectual obligations

o   Direct institutional development to cultivate donors interested in supporting faculty and student scholarship and research

o   Explore mechanisms to support non-tenure-track faculty interests in pursuing external funding

I. Introduction

Support of faculty scholarship and research is an essential, but historically undervalued, ingredient for achieving academic excellence at Sonoma State University (SSU) and building the reputation of the University in the region and community. To better understand how to effectively bolster faculty efforts in pursuit of excellence and develop a strategic plan to support research and scholarship for Sonoma State, the Faculty Research Associate (FRA) and the Faculty Subcommittee on Sponsored Programs (FSSP) working in collaboration with the Director of the Office of Research and Sponsored Programs (ORSP) and the Vice Provost conducted a survey of SSU's faculty during 2009-10 academic year to gauge their interest, experience and satisfaction with pursuing external funding for their research and scholarship (Appendix 1). In addition, the FRA initiated a series of interviews (to be summarized in a subsequent report) with the aim of reaching every academic department to gain qualitative insight into specific disciplinary needs (as well institutional support needs) that may not emerge in response to a survey. The results of the survey and the initial interviews of faculty from the Schools of Social Sciences and Science & Technology are enlightening and highlight expected and unexpected faculty needs, declining faculty moral and institutional roadblocks, but also the innate desire and drive of our faculty to be productive scholars, make contributions to their disciplines and engage their students in the excitement of research and scholarship. Some of the problems identified have the potential to be ameliorated through institutional vision, focus and prioritization even absent significant funding, but others will require institutional investment to remedy. This report provides guidance on how to align institutional priorities with a trajectory for success in promoting academic excellence in research and scholarship.

Improving institutional support for faculty research and scholarship is fully consistent with the strategic plan (http://www.sonoma.edu/aa/planning/final_aa_strat-plan4-27-09.pdf) adopted for the Division of Academic Affairs in 2009. Specifically, it is consistent with the initiatives to "provide adequate resources for the scholarly, creative and professional development of [SSU] faculty" (2.1.3), and to "retain and recruit faculty who value involving students in scholarly pursuits and research activities" (2.2.5). The strategic plan also includes the goal of developing a strong and expanding resource base to support excellence in teaching and learning including non-state sources of funding. The results of the survey suggest specifics targets for institutional investment that will aid in successfully fulfilling the objectives of the strategic plan identified above. The

targets for investment will also help ORSP to better support faculty success in obtaining external funding that will help Academic Affairs and SSU accomplish its goals. This is especially critical given the re-allocation of the responsibilities of SSU's Chief Research Officer to the already over-burdened office of the Vice Provost (when the Vice President for Research position was eliminated) and the current lack of legislative funding for virtually the only program to support faculty scholarship at SSU (the RSCAP mini-grants and summer fellowships).

## II. Demographic profile of survey respondents

Ninety out of 381 faculty (or 24%) responded to the survey. Women made up 55% of the respondents while 87% reported their ethnicity as white or Caucasian (Appendix 2). Sixty-four percent were tenured faculty, 24% were tenure-track and 12% were non-tenure-

Figure 1. Length of employment in current position at SSU
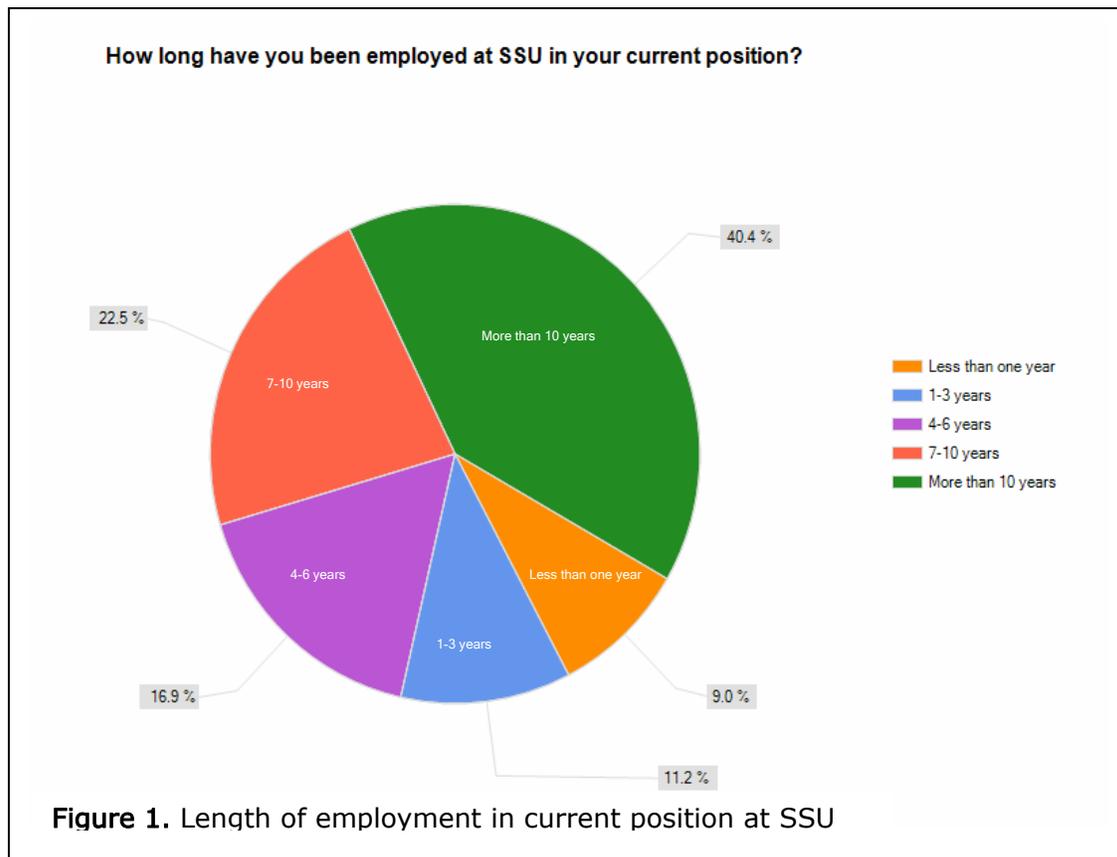
track (Appendix 2). The majority of respondents (63%) had worked in their current position at SSU for 7 years or longer and only 20% for 3 years or less (Fig. 1). Similar percentages of men and women reported working for SSU for 10 years or more in their current position (43% of women and 39% of men) and having achieved tenure (68% of women

and 62% of men). Forty-two percent of respondents held the rank of Professor, 24% were Associate Professors, 23% were Assistant Professors and 11% were lecturers (Appendix 2).

The majority of respondents (83%) came from three schools: Science &Technology, Social Sciences and Arts & Humanities (Fig. 2). Overall, a greater percentage of faculty that answered the survey from the Schools of Education (100%) and Science & Technology (70%) than the other schools (25-56%) had worked for SSU for less than 10 years. No respondents from the School of Business & Economics or the University Library reported working for SSU for less than 4 years. The percentage of tenured faculty responding to the survey ranged from 50-75% across all the schools. The percentage of male and female respondents from within each school varied somewhat with the Schools of Arts & Humanities, Social Sciences, Education, and the University Library having the greatest proportion of women (Science & Technology: 44% female and 56% male; Business & Economics: 50% female and 50% male; Arts & Humanities: 53% female and 47%

Figure 2. Affiliation of respondents by School
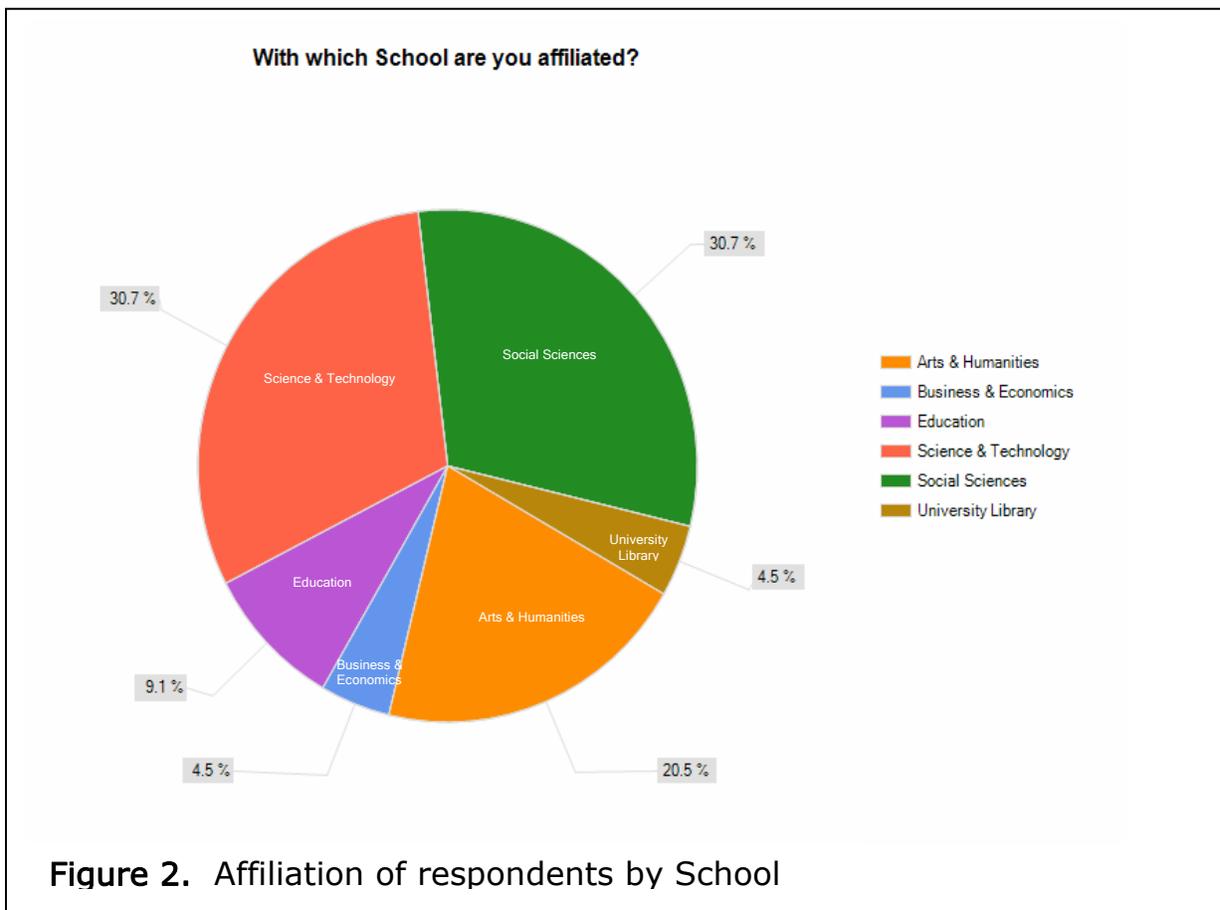
male; Social Sciences: 59% female and 41% male; Education: 63% female and 37% male; and the University Library: 75% female and 25% male). There was similar variation among the percentages of

men and women in tenured (57% female and 43% male), tenure-track (43% female and 57% male) and non-tenure-track (67% female and 33% male) positions, with the greatest disparity among non-tenure-track respondents.

In general the demographic profile of survey respondents suggests it reflects the relative representation of faculty among the schools of the University. Respondents from the Schools of Science & Technology and Education tended to be more junior than those from the other schools.

III. Faculty interest and experience in submitting external grant proposals

The majority of survey respondents (94%) expressed interest in writing external grant proposals to support their research and scholarship (Appendix 2). While interest in grant writing among faculty respondents is strong, it declines somewhat after achieving tenure (100% of respondents in both tenure-track and non-tenure-track positions, but only 91% of tenured faculty were interested in writing grant proposals to support their scholarship and research activities) (Appendix 2). In the comments provided by faculty who indicated they were not interested in writing and submitting proposals, the primary reasons centered on lack of time and degree of difficulty. Faculty know there are funding opportunities within their disciplines since the lowest ranked answer was "I don't think there are any funding opportunities in my discipline," but they may not have the support needed to find and pursue them. The top four obstacles to submitting external proposals identified by faculty (aside from write in answers) included: 1) I don't have time to write a grant proposal; 2) writing grant proposals will conflict with my teaching responsibilities; 3) I'm confused by SSU's grant submission policies; and 4) I don't know where to look for funding opportunities (Appendix 2). The top ranked answer overall was "other" where faculty were invited to write in their own answer (see Appendix 2 for responses). The write in answers suggest that faculty feel "overwhelmed by the demands of [their] job" and that they "barely have time to think" or "envision a project" let alone write a grant proposal or do the work proposed even if it was funded. They also are "tired of the process" and feel they receive "little to no recognition" for scholarly work above and beyond what is required. Some faculty also believe that SSU is perceived as having a low national reputation for scholarship that impedes faculty success. At the same time, many faculty also responded that their

scholarship and research was critically dependent on external funding not only for their own work, but in order to support the work of the students they mentor.

The current SSU teaching workload (and other non-research related responsibilities) inhibit the ability of faculty to independently pursue resources required to support their scholarship (and that of the students they mentor). SSU should strive to better support and reward faculty pursuit of excellence in scholarship and research (defining elements of the academic profession) through a more balanced workload that recognizes the importance of scholarship and research.

Most faculty respondents (over 95%) in the Schools of Science & Technology, Arts & Humanities, Social Sciences and the University Library indicated an interest in writing and submitting external grant proposals, but fewer faculty in the Schools of Education

Figure 3. Prior experience writing grant proposals, by School.
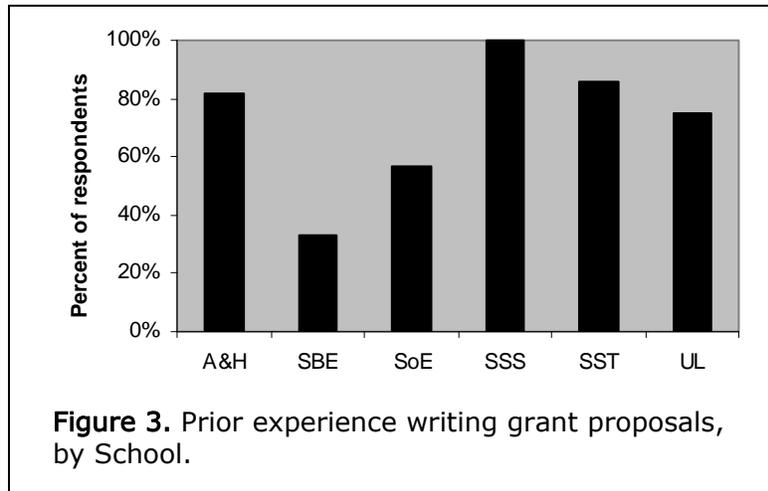
(87%) Business & Economics (67%) indicated an interest. In the School of Social Sciences 100% of the faculty indicated they had some prior experience with writing grant proposals and 75-85% of the faculty from the schools of Science & Technology, Arts & Humanities and the University Library indicated having prior experience (Fig. 3). In contrast, the faculty from the Schools of Education and Business & Economics reported only 57% and 33%, respectively, had prior experience with grant-writing (Fig. 3). Thus faculty in the schools most interested in grant writing were also most likely to have had some prior experience too, but the disparity between interest and experience was greatest for the Schools of Education and Business & Economics. Not surprisingly, prior experience with grant writing increased from 63% among non-tenure-track faculty, to 79% among tenure-track faculty and again to 91% among tenured faculty.

Faculty in the Schools of Education and Business & Economics report having much less experience with grant writing than faculty in other schools. SSU should work to improve support and mentoring to faculty from the Schools of Education and Business & Economics to increase their experience with grant writing.

Interest in writing external grant proposals is greater among male than female faculty as is prior experience with grant writing (Fig. 4). Further reflecting this difference, the percentage of male faculty that have ever submitted an external grant proposal through SSU's ORSP was also greater (Fig. 4). Furthermore, 36% of male faculty reported submitting grant proposals for external funding at SSU more than 5 times compared to only 16% of female faculty, and 37% of female faculty report

Figure 4. Differences between male and female faculty interest and experience in submitting external grant proposals.
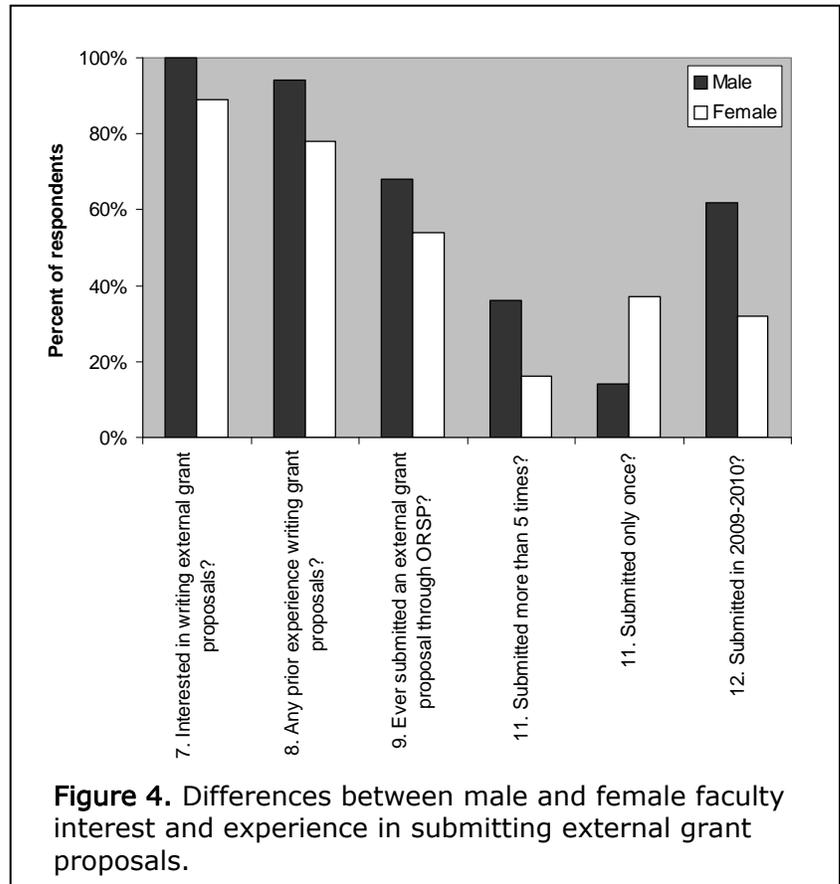
having submitted an external proposal only once compared to just 14% of male faculty (Fig. 4). During the 2009-2010 academic year, almost twice as many male as female faculty report submitting external grant proposals (Fig. 4). These results are especially striking considering that the percentage of female faculty respondents from within each school ranged from 44-75% and from 43-67% among those with tenure, suggesting that these differences are not related to differences in gender representation among academic disciplines or with tenure status.

Male faculty at SSU appear to be more interested, experienced and persistent than female faculty in pursuing external funding for research and scholarship. SSU should work to improve support and mentoring in the grant-writing process to help encourage female faculty to write and submit external proposals.

When asked whether or not receiving internal funding from SSU or the California State University (CSU) system had helped them to gain external funding, 31% responded yes across the whole university (Appendix 2), but the percentage was higher (42%) within both the Schools of Science & Technology and Social Science and only 25% from the School of Education. In sharp contrast, none of the faculty from the other three Schools answered yes (Fig. 5). Not surprisingly, 33% and 36% of non-tenure-track and tenured faculty reported that receiving funding from internal sources helped them to acquire additional external funding, compared to only 8% of tenure-track faculty. When queried about how the internal funding had helped them, most faculty indicated that it either: 1) allowed them to do preliminary work (using student assistants, providing them with salary or travel money) to form the basis of a subsequent proposal (proof of concept, tractability, background, etc.), or 2) provided them with time to finish writing something up for publication that made them more competitive for further funding.

Figure 5. Internal (SSU/CSU) funding helped acquire external funding, by School.
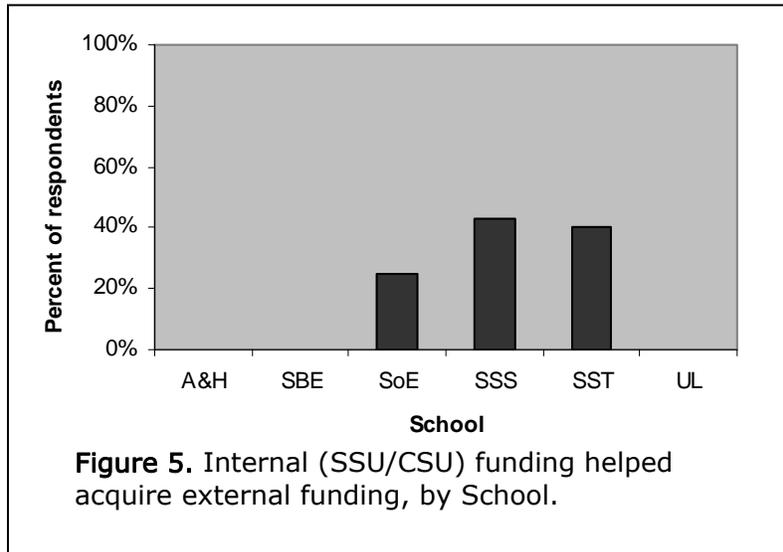
'Seed money' from internal sources can be critically important for increasing the success rate of proposals for external support. SSU should strive to increase internal funding, especially to help jump start new faculty research and scholarship projects.

Experience with grant writing clearly increases over the career of a faculty member. A greater percentage of tenured (71%) and non-

tenure-track (50%) faculty reported submitting grant proposals through SSU's ORSP than tenure-track faculty (39%). Only tenured faculty report having submitted more than 5 grant proposals through ORSP (37% of tenured faculty vs. 0% of non-tenure and tenure-track faculty). Among the tenure-track faculty respondents who indicated they had ever submitted a grant through ORSP, 100% had done so during the 2009-10 academic year. In comparison, 42% of tenured faculty who h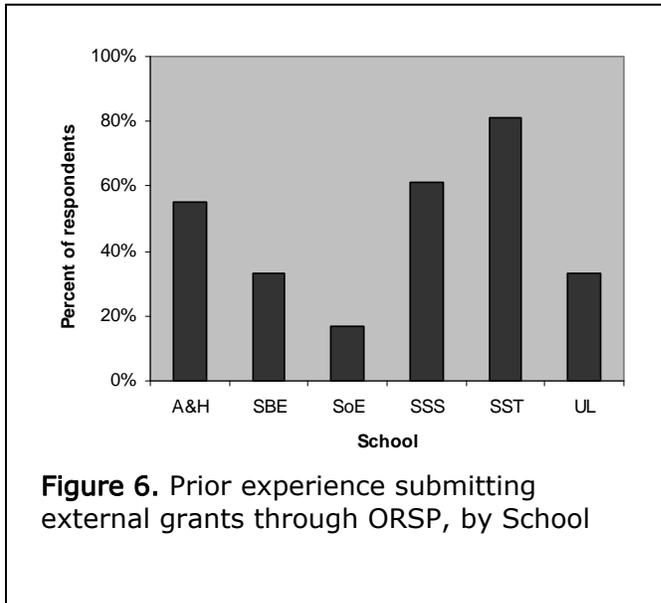ad ever submitted a proposal through ORSP did so last in 2009-10, while 31% indicated their last submission was prior to the 2006-7 academic year. Non-tenure-track faculty reported either 2006-7 (75%) or 2007-8 (25%) as the last time they had submitted a proposal through ORSP.

Figure 6. Prior experience submitting external grants through ORSP, by School

A larger percentage of faculty respondents from the Schools of Science & Technology, Social Sciences and Arts & Humanities have had prior experience submitting proposals through SSU's ORSP (Fig. 6). Of the respondents who indicated they had submitted an external grant proposal through ORSP, 80% within all Schools except for Arts & Humanities had done so more than once, while in the School of Arts & Humanities it was only 34%. The majority of faculty respondents from the Schools of Business & Economics (100%) and Social Sciences (73%) last submitted a proposal through ORSP prior to the 2007-8 academic year. In contrast, the last grant proposals submitted through ORSP by faculty respondents in the remaining schools were submitted in either the 2008-9 or 2009-10 academic year.

Recent grant submissions are primarily from the schools of Science & Technology and Education. Faculty in the school of Arts & Humanities are less persistent in seeking funding than faculty in the other schools. SSU should work to encourage persistence in grant writing and submission of proposals from faculty in the schools of Arts & Humanities, Social Sciences and Business & Economics.

Faculty may seek funding from a wide array of sources including internal (SSU or CSU-wide) programs, federal, state and foundation programs, as well as individual donors. We asked faculty to approximate the number of submissions and successes they had experienced over their career from each type of funding source to get a sense of where our faculty were seeking funding and meeting with the most success. In addition, we asked faculty to tell us the top five funding sources they were aware of that funded scholarship in their field; a wide range of potential funding sources were identified across the schools including 18 from Arts & Humanities, 13 from Education, 32 from Science & Technology, 39 from Social Sciences, 6 from Business & Economics, and 4 from the University Library (Appendix 3).

Among faculty seeking support from internal funding sources, 54% had submitted 1-2 proposals and 32% indicated submitting 3-5 proposals (Appendix 2). However, reported success rates were high for internal sources with 81% of faculty indicating that most (more than half) of the proposals they had submitted were funded and only 2% indicating than none had been funded (Appendix 2). The low proportion of faculty indicating more than 5 submissions for internal funding opportunities most likely reflects the priority placed on funding junior faculty and previously unfunded applicants adopted by most of these programs (and the resulting self-filtering) suggesting there may be a need for programs that target supporting later career faculty.

Forty-two percent of faculty reported submitting grants to federal sources one or two times, 29% had never done so, but interestingly 14% had submitted more then 10 proposals (Appendix 2). Success rates were mixed, with 49% indicating that most of their proposals had been successful but 29% indicated none had been funded (Appendix 2). Competition for federal funds can be high, so these results are not unexpected, but they suggest that persistence may be an important element in generating success.

At the state level, 46% indicated they had submitted grant proposals up to five times, while 47% indicated they had never submitted to a state funding source (Appendix 2). Our faculty appear to be much more successful when seeking state level funding with 76% reporting that most of the proposals they had submitted were funded and only 12% had met with no success (Appendix 2).

Eighty-four percent of our faculty indicated they had tried at least once to gain funding through a proposal submitted to a foundation (Appendix 2). Interestingly, 3% reported success with winning funding without even submitting a proposal (Appendix 2). The lowest success rate was reported for submissions to foundations. Thirty-seven percent indicated none of their submissions had been

successful, while 34% indicated most of their proposals had been funded (Appendix 2).

Interestingly, 40% of the faculty responding to this question had attempted to acquire funding from "other" sources. Although the survey didn't ask them to list what "other" meant, it is possible that individual donors make up a portion of these sources. It would be interesting to learn more about what these other funding sources are since 85% of faculty reported that more than half of their requests for funding were successful (Appendix 2).

When comparing the results within demographic subgroups (gender, schools and tenure status) two marked differences emerged: 1) women had a higher success rate at the federal level than men (60% of women reported more than half the proposals they submitted were funded vs. only 37% for men); and 2) tenured faculty had a higher success rate than tenure-track faculty at both the federal and state levels (82% and 50% of tenured faculty reported more than half the proposals they submitted at the federal and state level, respectively, were funded vs. only 52% and 20% for tenure-track faculty, respectively).

The overall success rate of SSU faculty who seek external funding is relatively high, especially when pursuing state funding. There is also a high degree of persistence among some faculty in seeking federal funding, but women appear to be more successful than men (despite lower persistence). In addition, tenured faculty are more successful than tenure-track faculty at winning federal and state level funding. These data suggest more SSU faculty could be successful in gaining external support for their research if they were given adequate support and mentorship in grant writing and identifying appropriate funding sources to target.

Although SSU does not grant Principle Investigator (PI) status to non-tenure-track faculty, all non-tenure-track respondents expressed interest in submitting proposals for external support of their scholarship, and 63% indicated they have prior experience with grant writing. Sixty-five percent have worked at SSU for more than 7 years, 67% are women and 70% work in the Schools of Social Sciences and Science & Technology. Most (75%) of their experience working with SSU's ORSP is from before the 2006-7 academic year, but 67% had submitted more than 2 proposals through ORSP. Although SSU has no scholarship or research expectations for non-tenure-track faculty, it is clear that non-tenure-track faculty have scholarship and research expectations and interests for themselves.

Non-tenure-track faculty have professional scholarship and research interests and often work for SSU for many years. SSU should explore ways to support non-tenure-track faculty interests in pursuing external funding opportunities through an SSU affiliation.

IV. Faculty satisfaction with pre- and post-award services (since 2009)

At Sonoma State University pre- and post-award services are managed by two different offices. The responsibilities of Chief Research Officer for the University are assigned to the Office of the Vice Provost. Pre-award services are provided through the Office of Research and Sponsored Programs (ORSP), which is administratively housed within the division of Academic Affairs. In contrast, post-award services are provided through Sponsored Programs Administration (SPA) and are part of the division of Administration and Finance. At present, significantly more staff are allocated to post-award services (SPA) than pre-award services (ORSP).

### Pre-Award Services: Office of Research and Sponsored Programs (ORSP)

Overall, 55% of faculty respondents who have had experience with ORSP's pre-award services since 2009 were either very satisfied or satisfied, while 24% were either unsatisfied or very unsatisfied. (Fig. 7). Among the schools, Science & Technology and Education indicated greater satisfaction (69% and 100%, respectively, were either satisfied or very satisfied) than the other schools. Only 34% from Social Sciences and 25% Arts & Humanities reported the same level of satisfaction. Satisfaction did not vary strongly with tenure status (56% of tenured and 50% of tenure-track faculty reported being satisfied or very satisfied with ORSP's services while 25% of both tenured and tenure-track faculty report being unsatisfied or very unsatisfied). However, a greater percentage of women (63%) than men (35%) reported being satisfied with ORSP services.

In individual responses, faculty indicated they thought things had improved since the new Director started, and also find ORSP staff to be very helpful. Notwithstanding the positive feedback for ORSP personnel, many faculty think the office is understaffed and want more help with budgeting as well as more frequent updates on progress during the routing and submission process.

In terms of new ORSP services, faculty would most like to receive mentoring and guidance including: 1) help with prospecting

research for funding sources (in the form of either one-on-one help, targeted mailings of potential funding opportunities in their field, or a web-based listing); 2) orientation and simple "how-to" guides for grant submission process at SSU, especially for new faculty; 3) support and feedback during the grant-writing process (editing, detail checking, pitching, etc.); and 4) feedback on how to revise and improve submissions that were unsuccessful.

The most important needs in pre-award services appear to be helping faculty: 1) identify appropriate funding sources, 2) hone their grant-writing skills and 3) develop grant budgets. SSU should work to increase support, training and mentorship for faculty in grant writing skills and staffing for ORSP.

Figure 7. Faculty satisfaction with pre and post award services.
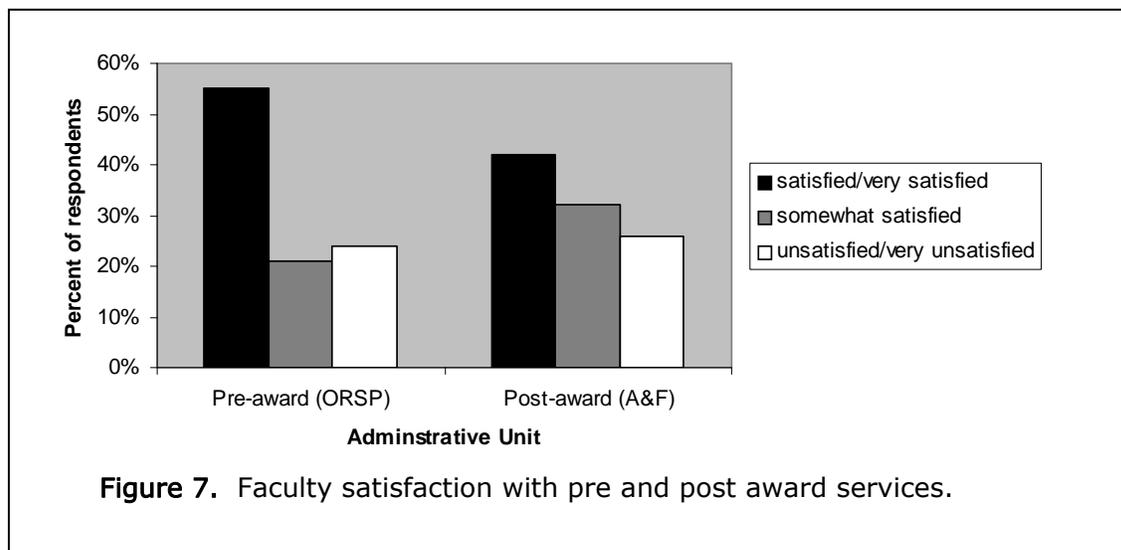
Post-Award Services: Sponsored Programs Administration (SPA)

Overall, faculty were somewhat less satisfied with post-award services than pre-award services. Forty-two percent were either very satisfied or satisfied, while 26% were unsatisfied or very unsatisfied with the services provided. The majority of respondents to this question were from the schools of Science & Technology and Social Sciences: 50% from Science & Technology were either satisfied or very satisfied and only 20% were very unsatisfied, but from the school of Social Sciences the pattern was reversed with only 29% from Social Sciences being satisfied or very satisfied and 43% being very unsatisfied. When considering tenure status, the tenure-track faculty were the most satisfied (100% were either satisfied or very satisfied with post-award services), while tenured faculty varied more in their degree of satisfaction (38% were either satisfied or very satisfied while

another 38% were only somewhat satisfied and 25% were very unsatisfied). Male faculty were generally more satisfied with post-award services than female faculty (55% of male faculty were either satisfied or very satisfied compared to only 25% of female faculty) and there were very similar levels of dissatisfaction (unsatisfied or very unsatisfied) among men (27%) and women (25%).

Although there is some indication of improving satisfaction with particular staff members and the new head of SPA, specific comments given by faculty throughout the survey indicated great frustration and confusion regarding post-award services and procedures. One of the greatest sources of frustration is with the cumbersome nature of routing a grant for obtaining institutional approval to submit (Proposal Endorsement Form [PEF] process). Although the PEF is a pre-award requirement, it is imposed by Administration & Finance, not Academic Affairs, and thus is considered here rather than under pre-award services. Furthermore, the PEF form and grant submission process was identified by faculty as the primary obstacle, after lack of time, impeding them from writing and submitting a grant proposal.

New services faculty would like to see emanating from SPA include: 1) an understanding of what services SPA provides; 2) assistance with reconciling grant budgets; 3) written guidelines on how to carry out common grant-related administrative tasks that PIs are involved in; and 4) reinvestment of recovered indirect costs (IDC) into direct support for PIs with grant-associated workload (including buy-out from teaching responsibilities and support for department or school staff who carry out post-award administrative tasks).

The most important needs in post-award services appear to be: 1) increasing communication and collaboration with and support for PIs in effectively and efficiently managing post-award tasks and procedures (especially for junior faculty) and 2) increasing direct support of workload associated with carrying out intellectual and administrative grant commitments. SSU should work to increase communication, collaboration and trust between SPA and PIs in managing grants and reinvest a portion of recovered IDC to support grant-related workload of PIs and support staff (within PI departments and/or schools).

V. Conclusions

One of the defining responsibilities of being a university faculty member is the pursuit and communication of new knowledge and understanding of the world. SSU faculty are very interested in pursuing external funding opportunities to support their research and scholarship. Those faculty at SSU who are already actively engaged in pursuing external funding appear to have high success rates with a variety of funding sources. However, many faculty feel overwhelmed by the demands of their job and find they do not have sufficient time in the day to pursue grant writing. Furthermore there is an inherent cultural tension at SSU between research and teaching because the primary mission of the University is to deliver an excellent academic experience for its students. Nonetheless, it would be negligent to deny the role that heavy teaching, administrative and service loads at SSU play in driving this tension and discouraging faculty (and student) research and scholarship activities. SSU will be better able to meet its primary mission of academic excellence by balancing support for all three of the required areas of faculty performance (teaching, research/scholarship and service). One way of decreasing the perceived tension between the objectives of achieving excellence in teaching and research is to encourage scholarship that engages and involves students. This is also a current objective for many national funding agencies and supports a pedagogy that emphasizes active learning.

SSU's current level of support for faculty scholarship and research is woefully inadequate and out of balance. One relatively inexpensive way to increase support for faculty is to create an institutional culture that facilitates grant submissions rather than discourages them. Attention is required to enhance the way that ORSP and SPA carry out their dual roles of: 1) supporting and encouraging faculty in submitting proposals for external support, and 2) complying with the financial, legal and administrative requirements for managing external funding. While the need for compliance with regulations is real, SSU's current approach to meeting that obligation acts as a deterrent to faculty seeking to help the university increase its resource base and contributes to low faculty retention. Externally supported faculty research and scholarship should be institutionally encouraged instead of (inadvertently) deterred as it expands the resource base the university has to carry out its primary mission. Recovered IDC can then be used help offset the expenses associated with providing faculty with more balanced workloads. The primary mission of excellence in education can be more readily achieved when faculty are actively engaged in scholarship that enlivens their teaching.

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Appendix 1: Survey

FSSP/ Faculty Research Associate Collaborative Survey

1. FSSP and Faculty Research Associate Collaborative Survey

Thank you for taking the time to respond to our survey.

The Faculty Subcommittee on Sponsored Programs (FSSP) in collaboration with the Faculty Research Associate is conducting this survey to gather information on faculty needs in support of externally funded research and scholarship.

We recognize the important role that faculty research and scholarship plays in the intellectual and educational life of the university, and the need for administrative support to facilitate acquisition of external funding to build an active program of scholarship. We are conducting this survey to inform strategic planning and coordination of activities among FSSP, FRA and the Office of Research and Sponsored Programs (ORSP). It is our intention to use the information gathered in this process to improve support for faculty interested in pursuing external funding opportunities and to prioritize new initiatives.

We welcome any level of response to the questions we've posed. You need not answer every question in order to submit a response.

2. Demographic Information (Optional)

1. How long have you been employed at SSU in your current position?

◯ Less than one year

◯ 1-3 years

◯ 4-6 years

◯ 7-10 years

◯ More than 10 years

2. What is the tenure status of your current position?

◯ Tenured

◯ Tenure Track

◯ Non Tenure Track

◯ Not applicable

3. What is your academic rank?

◯ Assistant Professor

◯ Associate Professor

◯ Professor

◯ Lecturer

◯ Other (please specify)

4. With which School are you affiliated?

◯ Arts & Humanities

◯ Business & Economics

◯ Education

◯ Science & Technology

◯ Social Sciences

◯ University Library

◯ Other (please specify)

5. What is your gender?

◯ Female

◯ Male

6. What is your ethnicity?

◯ African American/Black

◯ Asian

◯ Hispanic/Latino/Latina

◯ Mexican American

◯ Native American

◯ Pacific Islander

◯ White/Caucasian

◯ Other (please specify)

[   ]

FSSP/ Faculty Research Associate Collaborative Survey

3. Survey Questions

1. Are you interested in writing grant proposals to acquire external (i.e., non-SSU, non-CSU) funding for your research or scholarship activities?

◯ Yes

◯ No

2. If you answered no to question 1 above, please let us know the reason (s) why:

[text box]

3. Do you have any prior experience writing grant proposals (at SSU or elsewhere)?

◯ Yes

◯ No

4. If you answered yes to question 3 above, please fill in the table below indicating the type of sponsor or funding source and the approximate number of submissions and successes (over your entire academic career including SSU, other institutions and even graduate school).

	Internal/SSU/CSU	Federal	State	Foundation	Other
Submissions					
Successes					

5. Please list the top five organizations (sponsors) you are aware of that fund work in your discipline (including private foundations):

1. [   ]
2. [   ]
3. [   ]
4. [   ]
5. [   ]

6. What do you perceive to be the primary obstacles (please select and rank all that apply with 1 being the most important, 2 being second most important, etc.) to writing and submitting a grant proposal?

I don't know where to look for funding opportunities.	
I don't think there are any funding opportunities in my discipline.	
I don't know how to write a grant proposal.	
I don't know how to construct a budget.	
I don't think I'm likely to be competitive – it would be a waste of my time.	
I don't have enough time to write a grant proposal.	
I'm confused by SSU's grant submission policies and process.	
I don't think proposal writing will help me get tenure/promoted at SSU.	
Writing grant proposals will conflict with my teaching responsibilities.	
Other (rank here, but describe in 7 below)	

7. If you selected 'Other' in the question 6 above please describe the reason here:

8. If you have ever received a RSCAP mini-grant, summer fellowship or other internal (SSU/CSU) funding did it help you acquire additional external funding?

◯ Yes

◯ No

9. If you answered yes to question 8 above, please briefly describe how this award helped you obtain additional funding:

10. Have you ever submitted an external grant proposal (i.e., not a RSCAP mini-grant, etc.) through SSU's Office of Research and Sponsored Programs?

◯ Yes

◯ No

11. If you answered yes to question 10 above, approximately how many times have you routed a proposal through ORSP?

⭕ only once

⭕ 2-5 times

⭕ more than 5 times

12. If you answered yes to question 10 above, when was the last time you submitted a proposal through ORSP?

⭕ 2009-10

⭕ 2008-9

⭕ 2007-8

⭕ 2006-7

⭕ before the 2006-7 academic year

13. If you have used ORSP's PRE-AWARD services since 2009 please rate your overall satisfaction:

⭕ very unsatisfied

⭕ unsatisfied

⭕ somewhat satisfied

⭕ satisfied

⭕ very satisfied

Specific feedback (if any):

14. Are there any new ORSP services you would like to see provided?

15. If you had a grant being managed by Administration & Finance (i.e., post-award) since 2009 please rate your overall satisfaction:

☐ very unsatisfied

☐ unsatisfied

☐ somewhat satisfied

☐ satisfied

☐ very satisfied

Specific feedback (if any):

16. Are there any new post-award services you would like to see provided?

17. Is there a question you feel we should have asked but didn't? If so let us know the question and your answer! Or any other feedback you might have in the space below.

Thank you very much for your time and input!

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

I. Demographic Profile of Survey Respondents (n=90)

How long have you been employed at SSU in your current position?
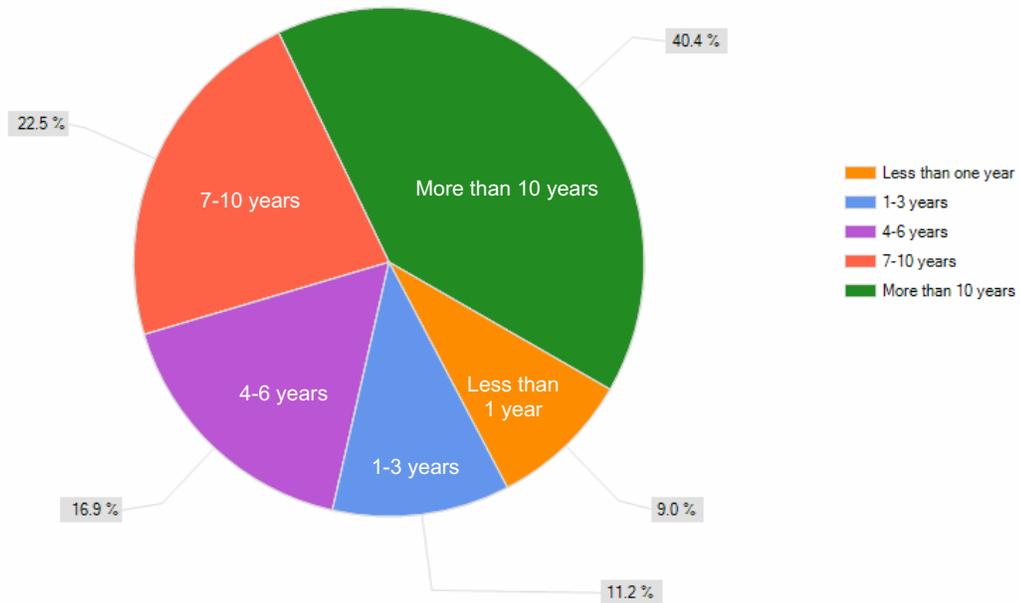
More than 10 years	40.4 %
7-10 years	22.5 %
4-6 years	16.9 %
1-3 years	11.2 %
Less than 1 year	9.0 %

Legend:
- Less than one year
- 1-3 years
- 4-6 years
- 7-10 years
- More than 10 years

What is the tenure status of your current position?

Tenured	64.0 %
Tenure-Track	23.6 %
Non-Tenure-Track	12.4 %

Legend:
- Tenured
- Tenure Track
- Non Tenure Track

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

What is your academic rank?

Legend:
- Assistant Professor
- Associate Professor
- Professor
- Lecturer
- Other

Professor — 41.6 %
Associate Professor — 23.6 %
Assistant Professor — 22.5 %
Lecturer — 11.2 %
Other — 1.1 %

With which School are you affiliated?

Legend:
- Arts & Humanities
- Business & Economics
- Education
- Science & Technology
- Social Sciences
- University Library

Social Sciences — 30.7 %
Science & Technology — 30.7 %
Arts & Humanities — 20.5 %
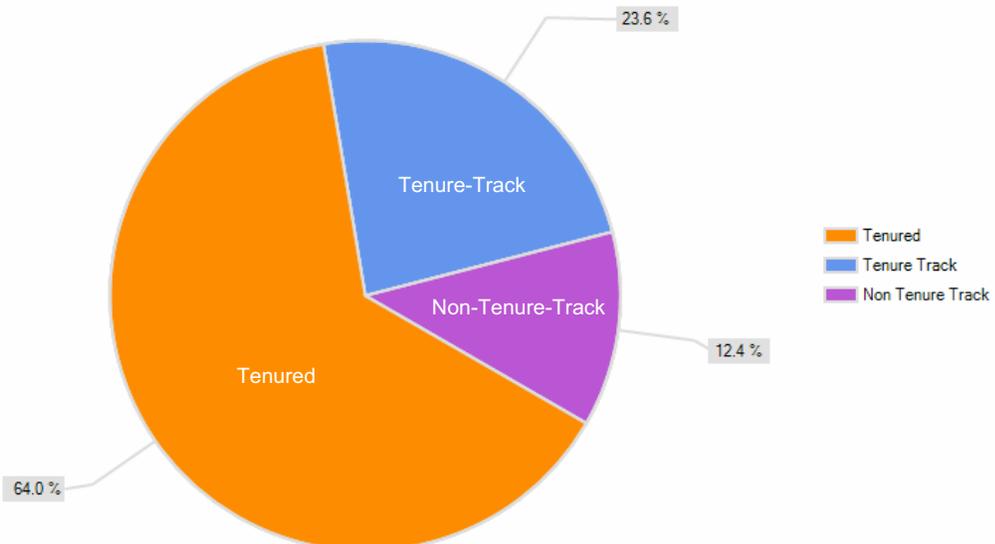Education — 9.1 %
Business & Economics — 4.5 %
Library — 4.5 %

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

What is your gender?

Female	54.7 %
Male	45.3 %

What is your ethnicity?

African American/Black	
Asian	
Hispanic/Latino/Latina	
Mexican American	
Native American	
Pacific Islander	
White/Caucasian	86.9 %
Other	2.4 %

2.4 %
2.4 %
3.6 %
1.2 %
1.2 %
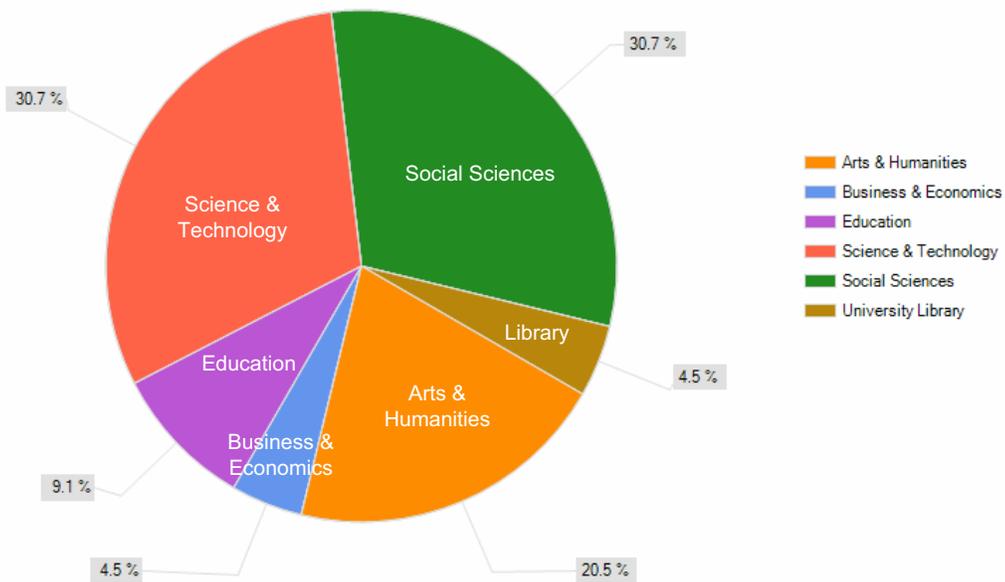
Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research
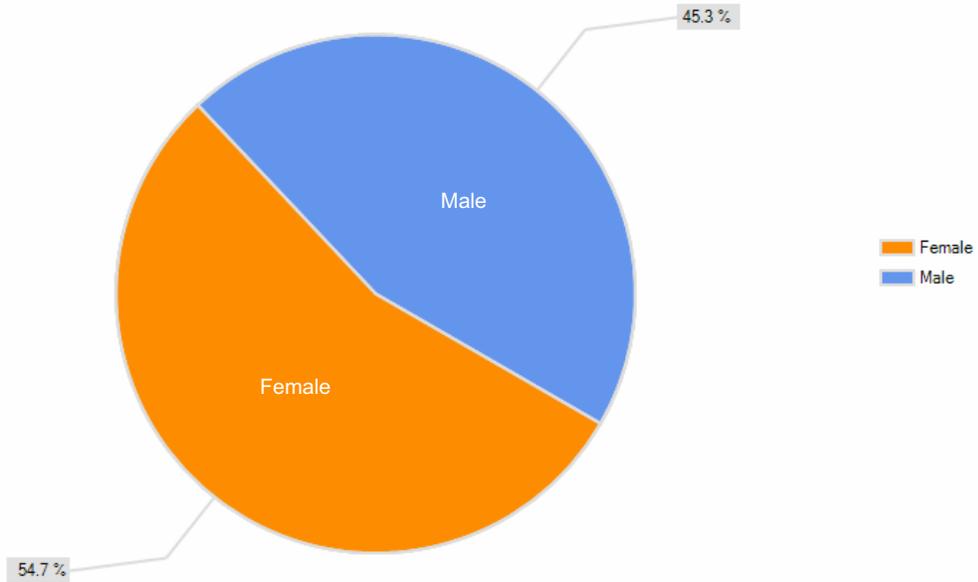
II. Responses to Survey Questions

Are you interested in writing grant proposals to acquire external (i.e., non-SSU, non-CSU) funding for your research or scholarship activities?

		Response Percent	Response Count
Yes		94.4%	67
No		5.6%	4
	answered question		71
	skipped question		19

Do you have any prior experience writing grant proposals (at SSU or elsewhere)?

		Response Percent	Response Count
Yes		84.5%	60
No		15.5%	11
	answered question		71
	skipped question		19

If you answered yes to question 3 above, please fill in the table below indicating the type of sponsor or funding source and the approximate number of submissions and successes (over your entire academic career including SSU, other institutions and even graduate school).

	Internal/SSU/CSU	Federal	State	Foundation	Other
Submissions					
Successes					

Data collected in response to the question above are summarized (by funding source) in the figures that follow on pages 6-10.
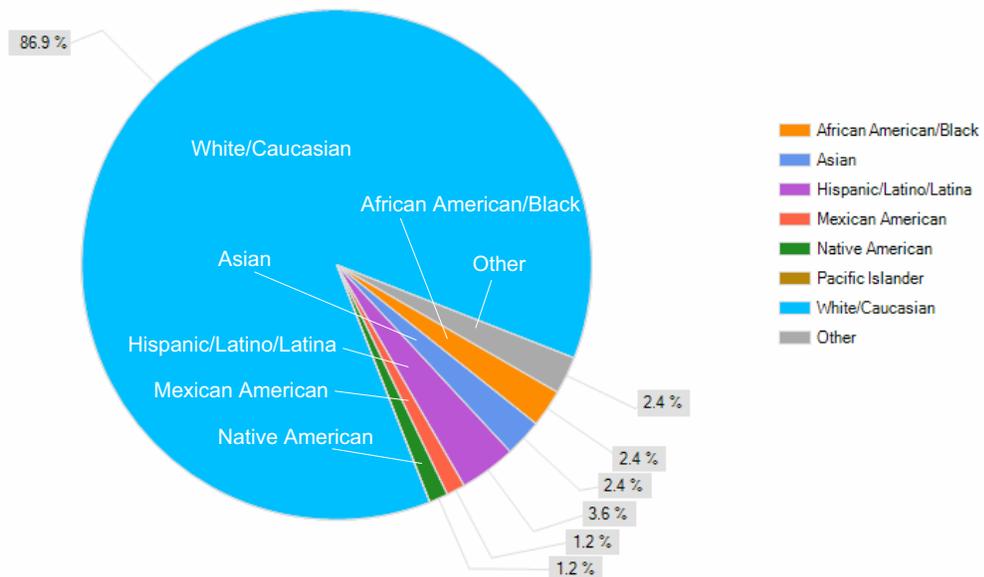
Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

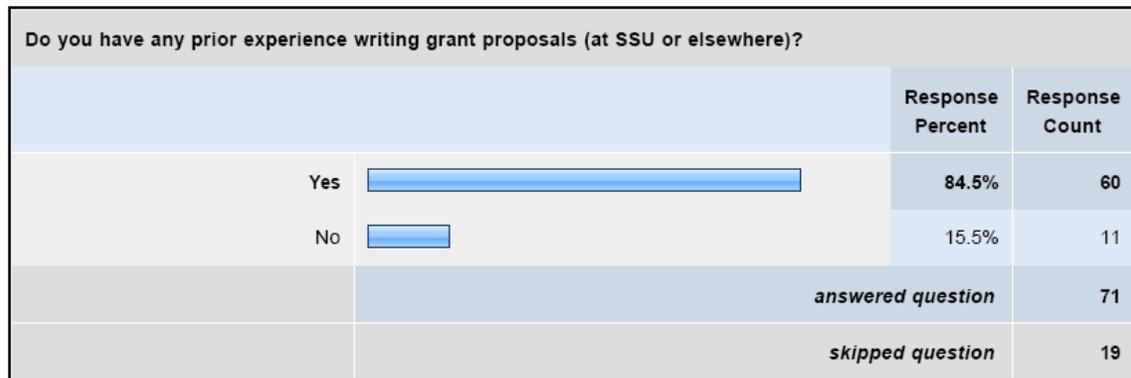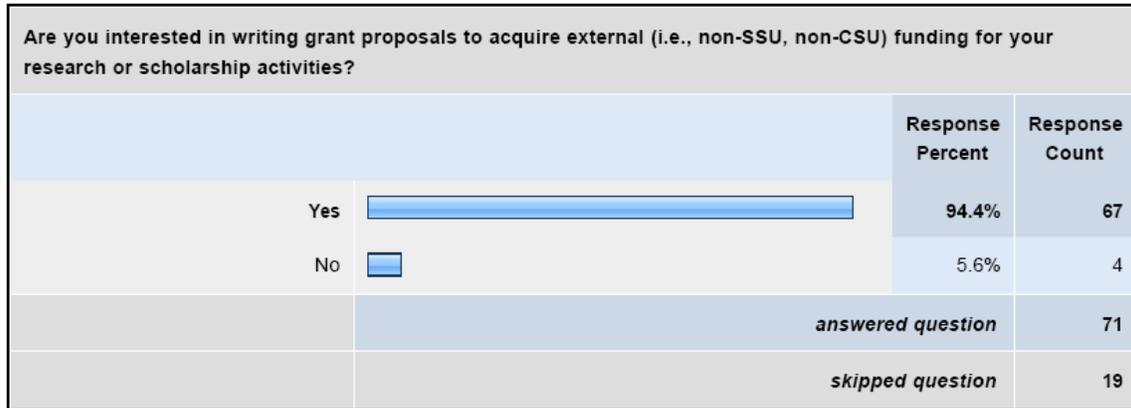Internal Funding: RSCAP mini grants, CSUPERB, etc. (n=50)

Internal Funding: RSCAP, CSUPERB, etc.

0% (>20)
(11-20) 6%
0% (0)
8%
6-10
32% 3-5
1-2 54%

No. of Submissions Reported
- 0
- 1-2
- 3-5
- 6-10
- 11-20
- >20

Percentage of Respondents

Respondents Seeking Internal Funding

2% (none)
13%
Fewer than 1/2
4%
About 1/2
Most proposals submitted (>1/2)
81%

Reported Funding Success
- Most proposals submitted (> ½)
- About 1/2 of proposals submitted
- Fewer than 1/2 of proposals submitted
- None of proposals submitted

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research
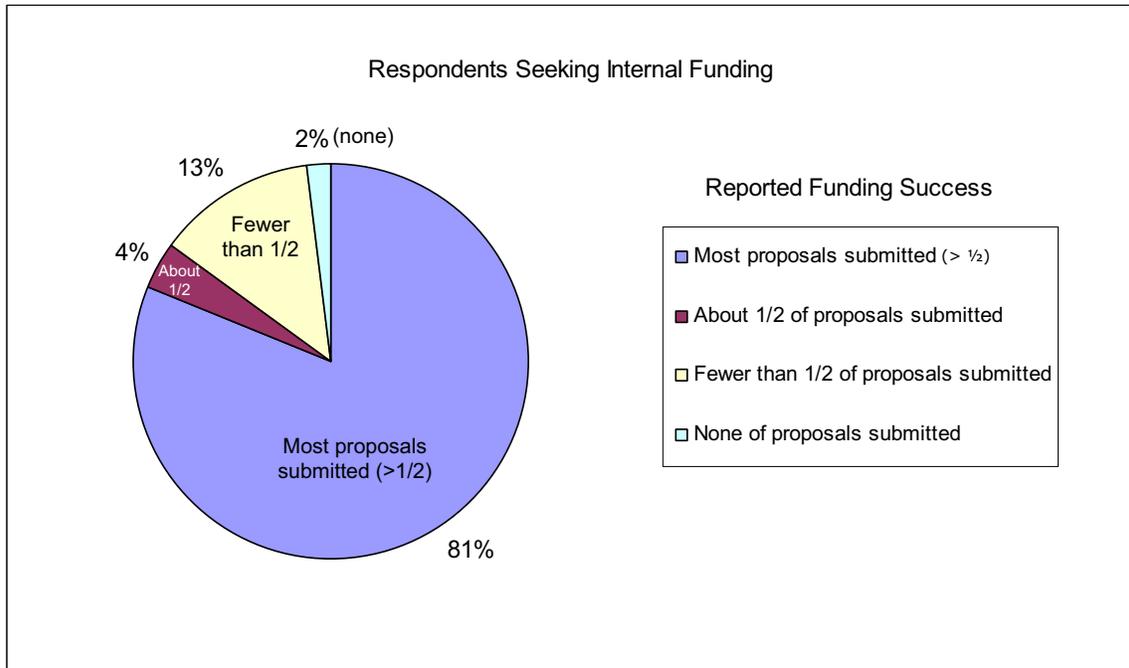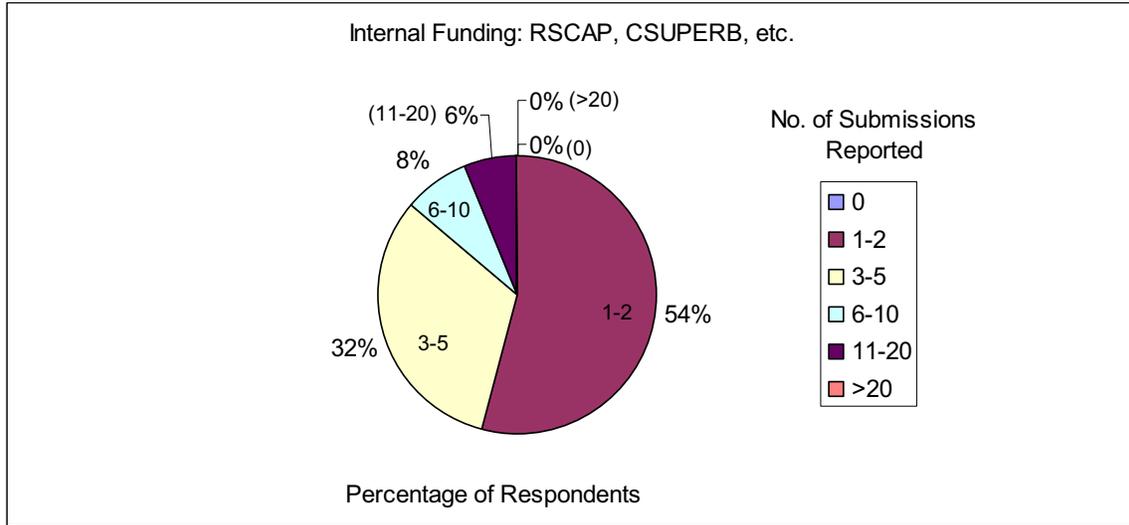
External Funding: Federal Sources (n=43)

External Funding: Federal Sources

Percentage of Respondents

No. of Submissions Reported
0
1-2
3-5
6-10
11-20
>20

2% (>20)
19%
12%
(6-10) 2%
11-20
0
23%
3-5
1-2
42%

Respondents Seeking External Federal Funding

29%
None
Most proposals submitted (>1/2)
49%
Fewer than 1/2
11%
About 1/2
11%

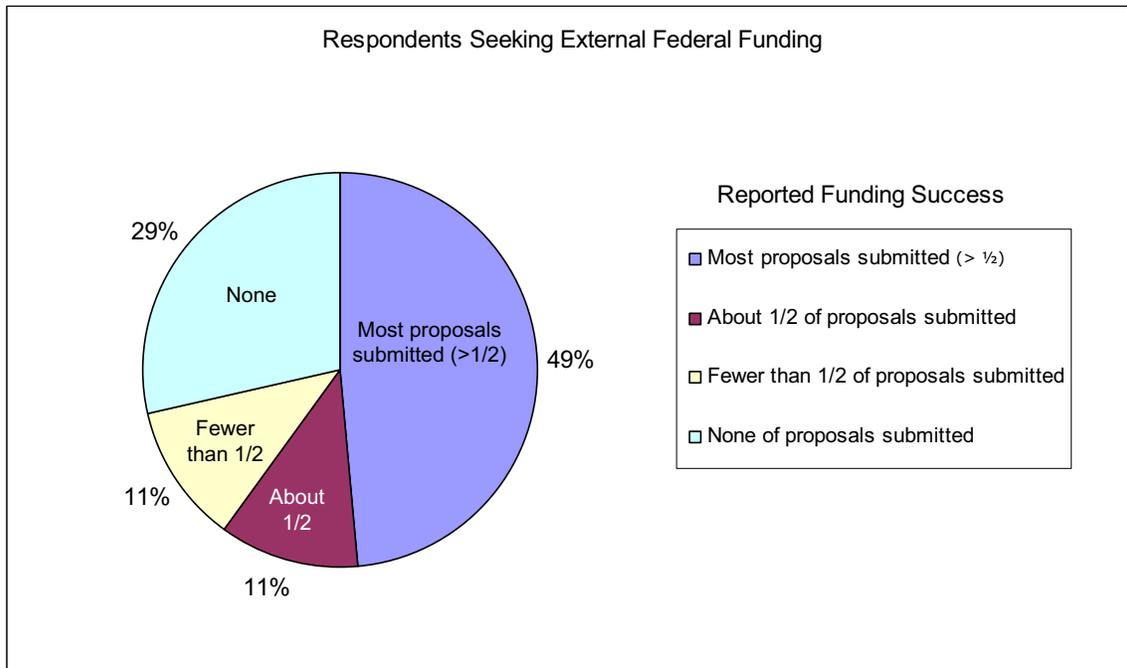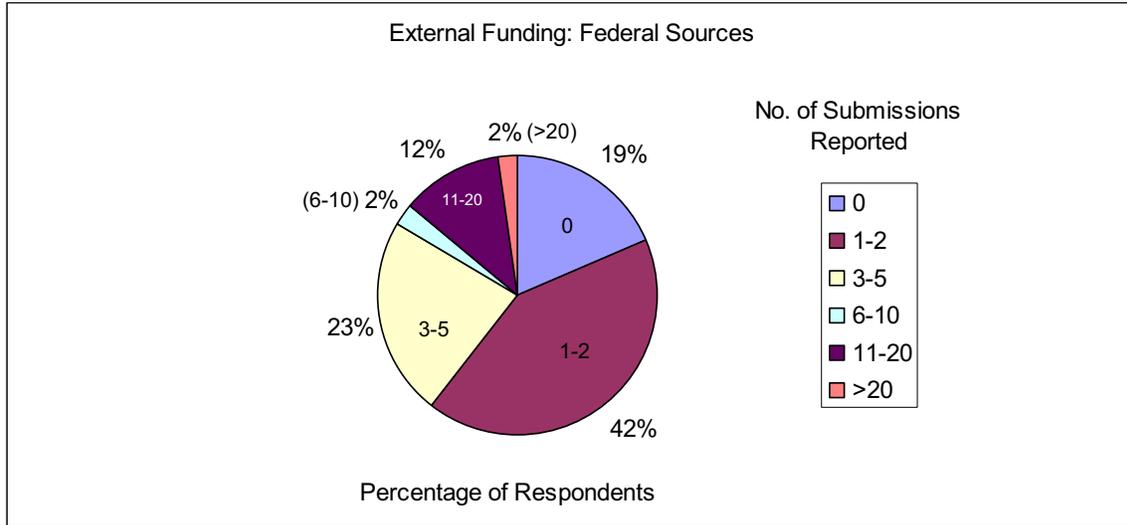| Reported Funding Success |
| --- |
| Most proposals submitted (> ½) |
| About 1/2 of proposals submitted |
| Fewer than 1/2 of proposals submitted |
| None of proposals submitted |

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

External Funding: State Sources (n=32)

External Funding: State Sources

(11-20) 3%

0% (>20)

(6-10) 3%

16%

3-5

No. of Submissions Reported

- 0
- 1-2
- 3-5
- 6-10
- 11-20
- >20

0   47%

1-2

31%

Percentage of Respondents

Respondents Seeking External State Funding

12%

6%

Fewer than 1/2

None

6% About 1/2

Most proposals submitted (>1/2)

76%

Reported Funding Success

- Most proposals submitted (> ½)
- About 1/2 of proposals submitted
- Fewer than 1/2 of proposals submitted
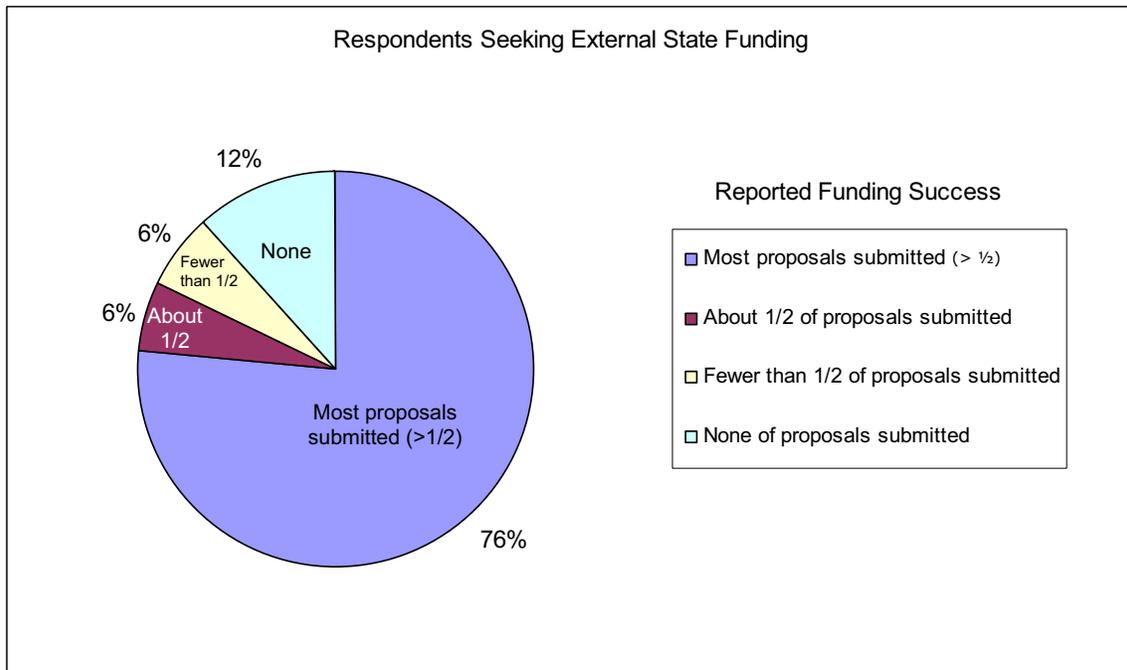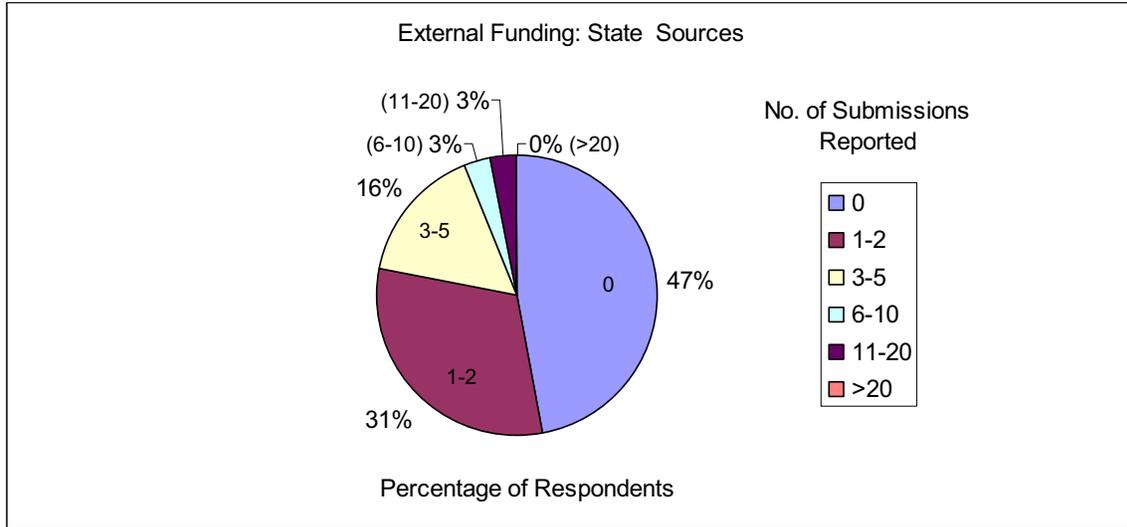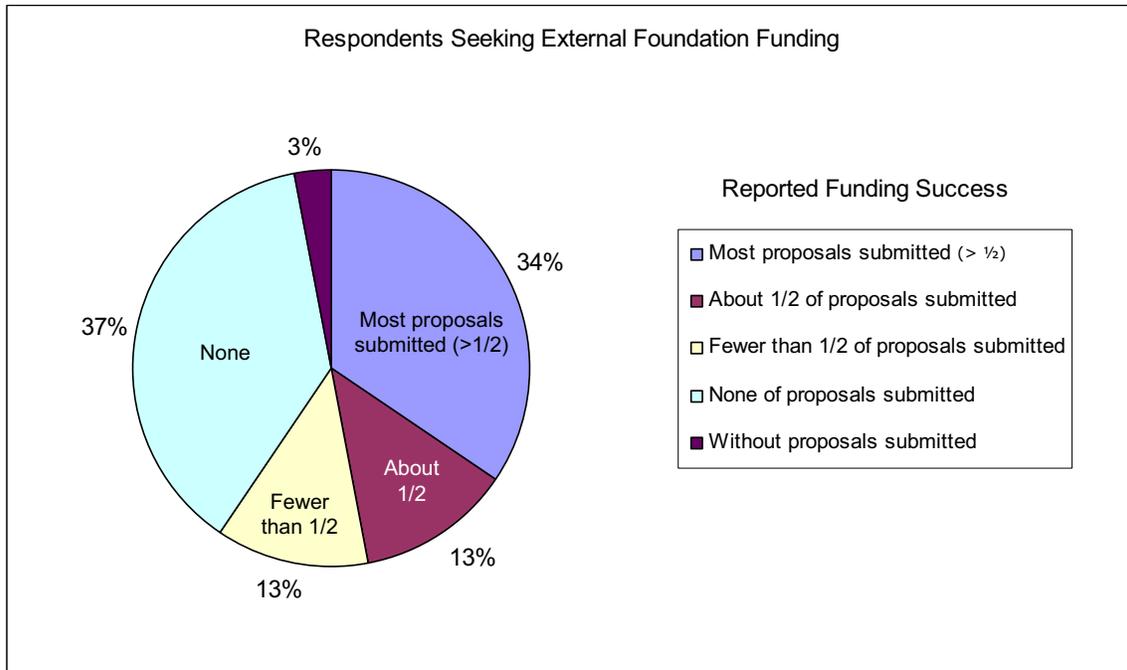- None of proposals submitted

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

External Funding: Foundation Sources (n=38)

External Funding: Foundation Sources

0% (>20)
(11-20) 3%
18%
6-10
3-5
18%
0
16%
1-2
45%

No. of Submissions Reported
- 0
- 1-2
- 3-5
- 6-10
- 11-20
- >20

Percentage of Respondents

Respondents Seeking External Foundation Funding

3%
37% None
34% Most proposals submitted (>1/2)
Fewer than 1/2
About 1/2
13%
13%

Reported Funding Success
- Most proposals submitted (> ½)
- About 1/2 of proposals submitted
- Fewer than 1/2 of proposals submitted
- None of proposals submitted
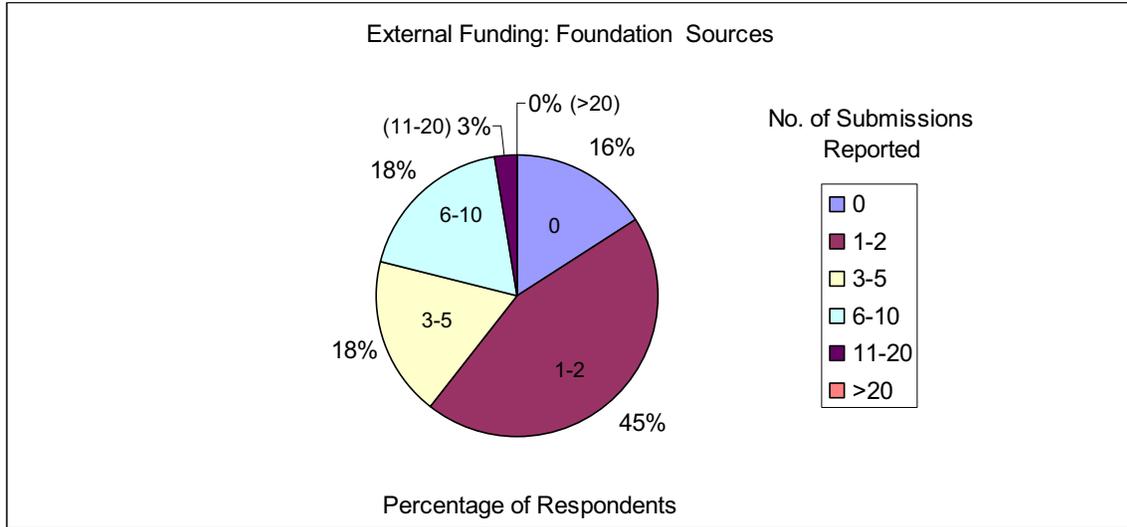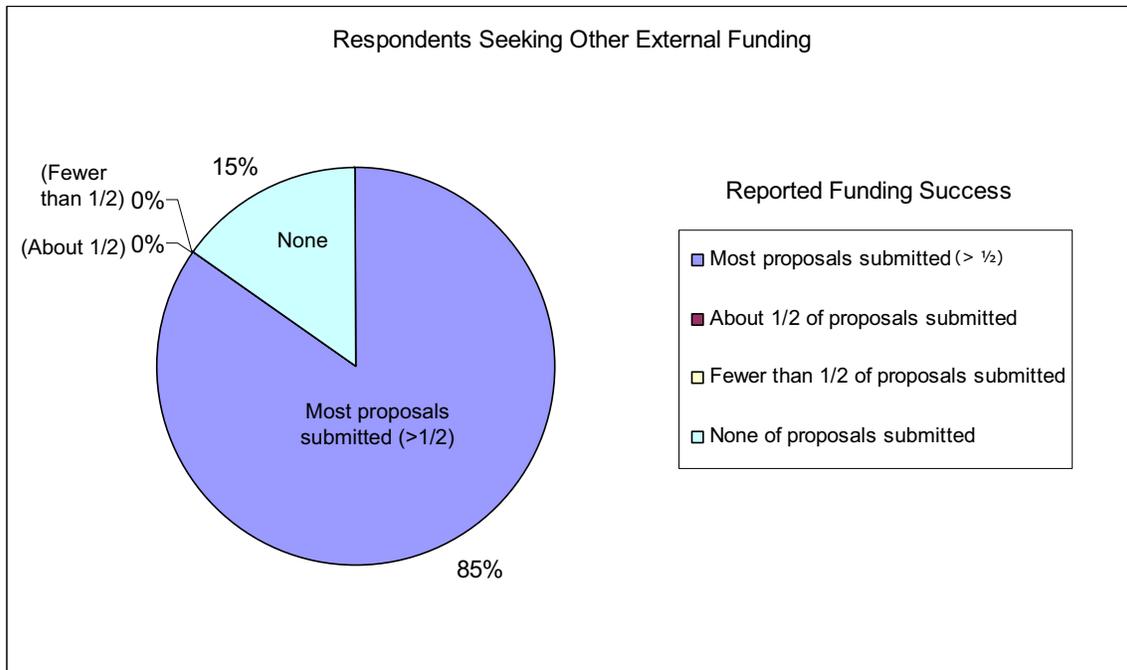- Without proposals submitted

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

External Funding: Other Sources (n=20)

External Funding: Other Sources

No. of Submissions Reported

- 0
- 1-2
- 3-5
- 6-10
- 11-20
- >20

Percentage of Respondents

Respondents Seeking Other External Funding

Reported Funding Success

- Most proposals submitted (> ½)
- About 1/2 of proposals submitted
- Fewer than 1/2 of proposals submitted
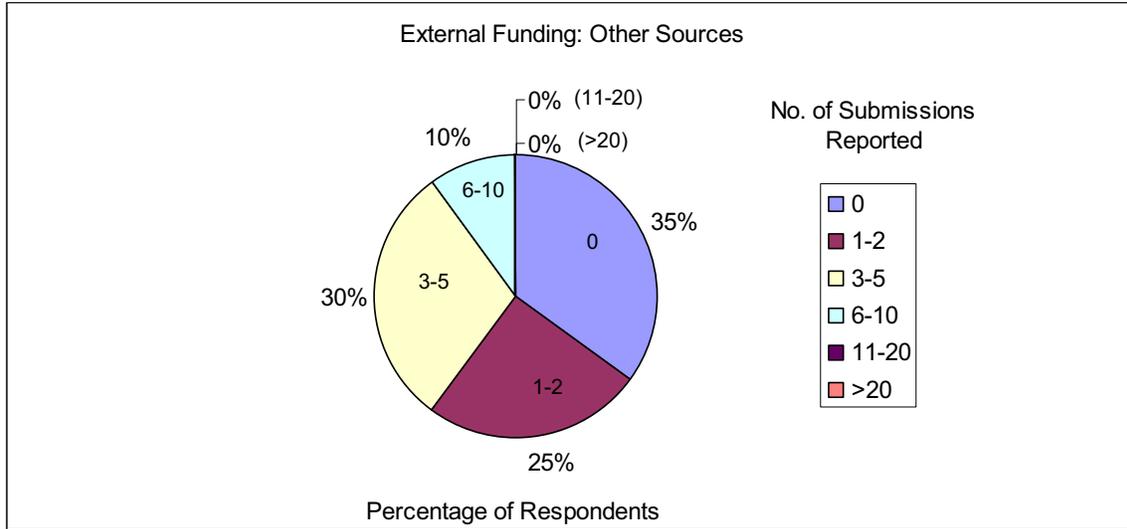- None of proposals submitted

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

What do you perceive to be the primary obstacles (please select and rank all that apply with 1 being the most important, 2 being second most important, etc.) to writing and submitting a grant proposal?				
	Five highest ranked obstacles	Response Average	Response Total	Response Count
I don't know where to look for funding opportunities.	5	3.93	114	29
I don't think there are any funding opportunities in my discipline.		6.44	103	16
I don't know how to write a grant proposal.		4.80	120	25
I don't know how to construct a budget.		4.68	103	22
I don't think I'm likely to be competitive – it would be a waste of my time.		4.23	93	22
I don't have enough time to write a grant proposal.	2	1.70	95	56
I'm confused by SSU's grant submission policies and process.	4	3.50	98	28
I don't think proposal writing will help me get tenure/promoted at SSU.		5.21	99	19
Writing grant proposals will conflict with my teaching responsibilities.	3	3.33	130	39
Other (rank here, but describe in 7 below)	1	1.52	35	23
		answered question		65
		skipped question		25

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research
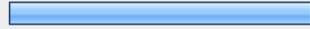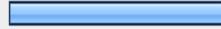
If you selected 'Other' in the question above please describe the reason here:	
	Response Count
	25
answered question	25
skipped question	65

Response Text
funding opportunities are channeled to one or two, with little opportunity for others to apply
Getting all of the required SSU signatures in a timely manner
It is much too difficult to get a grant routed at SSU.
too many grants right now
SSU's own policies are not supportive of conducting research and submiting proposals
Sonoma State lacks a national research reputation that I imagine undermines credibility of applications.
I don't even have the time to envision a research project, much less write a grant to fund it.
I find SSU's grant process overly cumbersome and full of roadblocks: lead time requirements and indirect cost hassles.
I will not be acknowledged or recognized by SSU as I am not tenured or on a tenure track
Not a big enough program known much beyond Sonoma County or to people not aware of the issues; also not enough time to schmooze/network with the people at the funding agencies to develop relaltionships
No obstacles, obviously.
Need funding opportunity that will provide time for buying out of teaching. Otherwise, it is too much responsibility to handle the research and teach.
SSU's requirements for proposal submissions are stricter than those of the funding agencies- i.e. budget descriptions etc.; facilities people refuse to sign off on PEF- they don't try and help make things happen, they just stop them
No release time and office support
Grants in my field don't allow for overhead.
It's all about time in the day.
Teaching loads at SSU are so heavy that it is challenging to find time for grant writing.
SSU Overhead is too high
focus on young scholars for many institutions, hard to get funded a second time
I have very little time to develop research project ideas

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

Right now I don't have enough time to write up data already collected - getting another grant to collect more would be almost unethical. that is: lack of time to do research if I did get a grant. I don't believe there are grants in my field for data analysis and write-up except as a part of a data collection grant.. and even that is likely to objections even then.
Lack of designated research space for each faculty member who might need it.
Post award
There is not only no time to write a proposal, but seemingly no time to do the research if funded etc.
Insufficient time to do the research once the grant is funded

If you have ever received a RSCAP mini-grant, summer fellowship or other internal (SSU/CSU) funding did it help you acquire additional external funding?

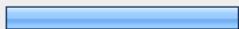|		Response Percent	Response Count
Yes		30.9%	17
No		69.1%	38
	answered question		55
	skipped question		35

Have you ever submitted an external grant proposal (i.e., not a RSCAP mini-grant, etc.) through SSU's Office of Research and Sponsored Programs?

		Response Percent	Response Count
Yes		58.8%	40
No		41.2%	28
	answered question		68
	skipped question		22

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

If you answered yes to question 10 above, approximately how many times have you routed a proposal through ORSP?

		Response Percent	Response Count
only once		24.4%	10
2-5 times		48.8%	20
more than 5 times		26.8%	11
	answered question		41
	skipped question		49

If you answered yes to question 10 above, when was the last time you submitted a proposal through ORSP?

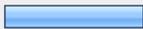|		Response Percent	Response Count
2009-10		47.5%	19
2008-9		10.0%	4
2007-8		5.0%	2
2006-7		7.5%	3
before the 2006-7 academic year		30.0%	12
	answered question		40
	skipped question		50

Appendix 2: Summary Responses from 2009-2010 FSSP/Faculty Research Associate Collaborative Survey of SSU Faculty Needs in Support of Externally Funded Research

If you have used ORSP's PRE-AWARD services since 2009 please rate your overall satisfaction:

		Response Percent	Response Count
very unsatisfied		10.3%	3
unsatisfied		13.8%	4
somewhat satisfied		20.7%	6
satisfied		**44.8%**	**13**
very satisfied		10.3%	3
Specific feedback (if any):			19
	answered question		29
	skipped question		61

If you had a grant being managed by Administration & Finance (i.e., post-award) since 2009 please rate your overall satisfaction:

		Response Percent	Response Count
very unsatisfied		26.3%	5
unsatisfied		0.0%	0
somewhat satisfied		**31.6%**	**6**
satisfied		26.3%	5
very satisfied		15.8%	3
Specific feedback (if any):			13
	answered question		19
	skipped question		71

Appendix 3: Top Five Funding Sources Reported (by School)

Arts & Humanities
American Council of Learned Societies
Arts and Humanities Research Council (UK)
Bill and Melinda Gates Foundation
Eli Lilly Foundation
Ford Foundation Fellowship Program
Getty Foundation
Hewlett Packard Company Foundation
Mellon Foundation
National Council of Teachers of English
National Endowment for Humanities (NEH)
National Endowment for the Arts (NEA)
National Gallery of Art
National Science Foundation (NSF)
National Writing Project
San Francisco Grants for the Arts
Social Sciences & Humanities Research Council (Canada)
Spencer Foundation
Zellerbach Family Fund

Education
American Recovery and Reinvestment Act
California Department of Education
California Postsecondary Education Commission
Comparative & International Education Society
David and Lucile Packard Foundation
Fulbright Institute of International Education
Institute of Education Sciences
John D. and Catharine T. MacArthur Foundation
Microsoft
National Science Foundation (NSF)
Office of Special Education and Rehabilitation
Stuart Foundation
US Department of Education

Appendix 3: Top Five Funding Sources Reported (by School)

Science & Technology
American Nurses Foundation
CA Ocean Protection Council
CA Sea Grant
California Department of Education
California Department of Fish and Game
CSU Program for Education and Research in Biotechnology (CSUPERB)
David and Lucile Packard Foundation
Defense Advanced Research Projects Agency (DARPA)
Environmental Protection Agency
Google.org
Gordon and Betty Moore Foundation
Greenwall Foundation
Health Resources and Services Administration
Microsoft
NASA
National Institute of Health (NIH)
National Oceanic and Atmospheric Administration (NOAA)
National Science Foundation (NSF)
National Security Agency (NSA)
Office of Naval Research
Office of Statewide Health Planning and Development (OSHPD)
Pew Charitable Trusts
Research Corporation for Scientific Advancement
Robert Wood Johnson Foundation
Sigma Theta Tau International – Honor Society of Nursing
Song-Brown Program (OSHPD)
US Department of Agriculture (USDA)
US Department of Education
US Department of Energy (DOE)
US Fish & Wildlife Service
US Forest Service
William & Flora Hewlett Foundation

Appendix 3: Top Five Funding Sources Reported (by School)

Social Sciences
American Association of Physical Anthropology
American Council of Learned Societies
American Schools of Oriental Research
American Society of Primatology
Autism Speaks
CA Department of Developmental Services
CALFED Bay-Delta Program
Compton Foundation
Davis Center for Russian & Eurasian Studies
Energy Foundation
Fetzer Foundation
Ford Foundation Fellowship Program
Fulbright Institute of International Education
Harriman Institute
Heinz Endowments
Hoover Institution
International Primatological Society
International Research & Exchanges Board
John Templeton Foundation
Leakey Foundation
Lumina Foundation
Mellon Foundation
NASA
National Council for Eurasian and East European Research
National Endowment for Humanities (NEH)
National Geographic
National Institute of Mental Health
National Science Foundation (NSF)
Pew Charitable Trusts
Public Policy Institute (many possible entities with this name)
Social Science Research Council
Sonoma County Community Foundation
Spencer Foundation
Teaching American History Grants (US Dept of Ed)
The Wenner Gren Foundation
US Department of Agriculture (USDA)
US Department of Education
US Department of Energy (DOE)
US Department of Interior
William T. Grant Foundation

Appendix 3: Top Five Funding Sources Reported (by School)

University Library
American Libraries Association
Emerald Publishing
Institute of Museum & Library Services (IMLS)
National Endowment for Humanities (NEH)

Business & Economics
International Association for Accounting Education & Research
KPMG Foundation
National Science Foundation (NSF)
Price Waterhouse Coopers
Russell Sage Foundation
US Department of Energy (DOE)