The Pathway to Success

DIVERSIFY REVENUE: PHILANTHROPY, CONTRACTS AND GRANTS

IMPLEMENTATION CHAIRS:
Chair: Ed Kinley, chief information officer and associate vice president for academic affairs, ed.kinley@indstate.edu
Co-Chair: Gene Crume, president, Indiana State University Foundation, gcrume@indstatefoundation.org

GOAL FIVE: Expand and diversify revenue sources to enhance the University's ability to fulfill its teaching, research and service mission.

OBJECTIVES:

1. By 2014, increase gross revenue from grants and contracts by 50 percent, adjusted for inflation.

2. By 2014, increase indirect cost recovery from grants and contracts by 50 percent.

3. By 2014, increase gross tuition and fee revenue by 34 percent by increasing enrollment and limiting increases in tuition to the CPI index.

4. By 2014, increase revenue transferred to the University from the Indiana State University Foundation by 50 percent, adjusted for inflation.

5. By 2014, increase non-institutional revenue generated by athletics to the average amount raised by MVC teams.

6. By 2014, increase the number of donors who annually give to the ISU Foundation by 32 percent.

7. By 2014, double the number of alumni who participate in alumni related events.

8. By 2012, meet or exceed goals of March On*!* The Campaign for Indiana State University.

Following are the most recent data, the Fall 2014 targets, and the changes associated with each objective:

	FALL 2008	FALL 2014	CHANGE
Gross revenue from grants & contracts	$10,038,025	$15,057,038[a]	+50%
Total income from Indirect Cost Recovery	$662,673	$994,010	+50%
Gross tuition and fees	$68,100,000	$91,113,237	+34%
Funds transferred from ISU Foundation in support of ISU	$ 8,474,455	$12,711,623[a]	+50%
Non-institutional revenue generated by Athletics	$ 2,914,000	MVC average	TBD

Total Number of Donors to Foundation	10,104	13,308	+32%
Number of Alumni participating in alumni related events	TBD	Double	+100%
Fundraising totals raised by March On*!*	$28,759,433	$85,000,000[b]	NA

[a]Number not adjusted for inflation.
[b]Campaign goal will be reached by end of campaign in 2012.

INITIATIVES

There are two initiatives for achieving the objectives and, collectively, realizing Goal Five:

1. Enhance Contract and Grant Activity
2. Strengthen the engagement of alumni in the life of the University

ENHANCE CONTRACT AND GRANT ACTIVITY

IMPLEMENTATION CHAIR: Mark Green

Introduction and Background

An important component of diversifying revenues, one of Indiana State's strategic priorities is increasing the amount of support from contract and grant activities.

For the 2007 and 2008 fiscal years, Indiana State University generated:

ISU Grants & Contracts	FY2007	FY2008
Federal Grants	$3,152,775	$2,738,852
State & Local	4,400,165	2,934,340
Non-Governmental	7,391,844	4,194,966
Total Grants & Contracts	$14,944,784	$9,868,158

Data Source: Office of Sponsored Programs Annual Reports. Includes some awards administered by the ISU Foundation.

This initiative will outline a set of ideas for enhancing contract and grant activity at ISU.

Connection to Strategic Priorities

This initiative relates most directly to:

- Expand and Diversify Revenues
- Recruit and Retain Great Faculty and Staff
- Strengthen and Leverage Programs of Strength and Promise

Basic Elements and Brief Description

Enhancing research contract and grant activities is a long-term process requiring sustained effort for 5-10 years.

a. Establish an institutional target for contracts and grants, in terms of total dollars and a percent of total revenues – the latter in order to maintain a benchmark for measuring progress as total revenues grow.

b. ISU currently offers pre-award support through their Office of Sponsored Programs (OSP), and ongoing administrative support through their Office of Grants and Contracts. OSP provides budget development assistance, narrative review, submission assistance, contract negotiation services, and support to compliance committees such as the Institutional Review Board for research with human subjects, the Animal Care and Use Committee. OSP works with IU's Research and Technology Corporation to develop intellectual properties for the university. The Center for Instruction, Research, and Technology (CIRT) offers evaluation and research support services to faculty and staff pursuing grants.

c. Launch tenure track faculty research programs on as high a trajectory as possible. This would include:

- A high level of research-directed start up funding
- Reduced teaching loads for first-year tenure track faculty
- Summer research money for several consecutive years for pre-tenure faculty
- A program of regular competitive full-paid research leaves for tenured faculty
- A strong faculty mentoring program using outstanding researchers from across the campus to assist promising assistant and associate professors. Ideally, the mentors would be from another department or school, so as to be distinct from the promotion and tenure review process.

d. Hire 4-5 senior faculty from Research I universities with solid track records of consecutive years of grant funding. Bring them in as endowed professors and senior faculty to mentor and collaborate with current faculty at ISU. This could be a program targeted to ISU's programs of distinction or promise as a means of enhancing them.

e. During the 2008 fiscal year, the Office of Sponsored Programs conducted grant writing workshops for 92 attendees, presented to 253 students in the classroom, facilitated brown-bag sessions on compliance issues for 45 attendees, and presented grant-related information to 320 community attendees. ISU needs to continue to enhance workshops and related infrastructure systems that support the development of successful competitive grants for external funding from government agencies and foundations. OSP should continue to work with the Office of Grants and Contracts, CIRT, and the Center for Public Service and Community Engagement (CPSCE) to provide workshops to support grant writing and management.

f. If the university wants to further emphasize research, issue contracts wherein a new associate professor would be offered a comparatively large salary (about 150% or more of the standard contract) but guaranteed for only one (1) year. After the initial year, ISU would pay 60% of that salary and the individual would have to generate the other 40% from grant funding. These percentages can change, but usually the institution offers a very high initial salary but guarantee a smaller percentage with the idea that as the faculty member brings in additional research dollars, the individual's salary increases markedly.

A potential downside of this element is that it creates a separate class of faculty who are expected to be (and are rewarded for) bringing in increasing research dollars and who are, in turn, released from a percentage of their teaching load in order to focus on research activities. Funds secured to reduce the teaching loads of researchers must be used to support the cost of hiring qualified faculty whenever justified by the enrollment demands of the department. In addition, some incentives would be necessary for the schools that house these faculty members in order to provide additional support for other related programmatic offerings.

The Provost and Deans should hold discussions to create a variety of incentives for individuals and for departments. Where appropriate the deans and provost may wish to establish measurable expectations for certain groups of faculty relative to the generation of grant and contract revenue. The senior academic leaders should discuss how these efforts, incentives and expectations might be considered in faculty evaluation and in the promotion and tenure process.

Grants and contracts can be secured and managed, not only by faculty, but by senior researchers on non-tenure track contracts and qualified administrative professionals at ISU Services should simultaneously encourage and support grant writing in administrative areas when appropriate.

Steps and Timeline

Year One and Ongoing
Increase Number and Competitive Quality of ISU Submissions

1. Establish a group of "internal experts" made up of ISU faculty who have been particularly effective at securing grants and contracts

2. Use ISU internal experts to make ISU proposals even more competitive:
    a. Panel review: Have internal experts act as grant reviewers and research design experts
    b. Conduct grant writing workshops to faculty who have potential for external funding
    c. Assist grant writers with research design, statistics, and grant proposal tactics
    d. Assist faculty who receive "revise and resubmit" reviews to produce fundable grant

3. Match targets of opportunity to faculty interests and expertise:
    a. Government agencies with RFPs that match ISU faculty research interests
    b. Philanthropic organizations with interest that match ISU faculty expertise
    c. Service and research contracting opportunities through FedBizOpps, state agencies, etc.

4. Set and achieve goal for number of new proposals to be submitted
    a. Cultivate leads, convert ideas into proposals,
    b. Provide in-house pre-submission reviews with constructive feedback
    c. Assist grant writers with staff support, financial incentives, released time
    d. Provide stipends for in-house experts offering assistance as described above.

5. To launch tenure track faculty on higher competitive trajectory, research start-up packages as elements used in recruiting and hiring tenure track faculty. Consider:
    a. Three years of summer funded research grants in lieu of teaching summer session
    b. Individual fund for research incidentals and travel first three years
    c. Two or more courses released time for research first year
    d. Successful mid-probationary review research semester released time
    e. Fund for research assistant and data analysis support
    f. Minimal service assignments, nothing outside the departmental level

6. Assess progress and initiate follow-up actions, e.g.:
    a. Rigorous up-or-out mid-probationary review in year 3 or year 4
    b. Specific expectations for number and type of grants to be submitted, e.g. RO1
    c. Specific expectations for number and quality of peer reviewed pubs

Year Two
SPO, Review and Upgrade Pre-Award and Post-Award Services

7. Survey active research faculty who have submitted grants or contract proposals
    a. Determine areas of strength and areas needing improvement
    b. Separately evaluate Pre-award and Post-award services

8. Determine level of centralization or decentralization will produce better results
    a. (This could vary by school and by department.)
    b. Determine adequacy of staffing, number of FTEs and level of expertise
    c. Benchmark against aspirational peers

9. Create and implement plan for upgrading pre-award and post-award service in July 2011

Year Two – Year Six
New Senior Researchers to Mentor Assistant and Associate Profs

10. Identify foundations and benefactors with interests in endowing professorships, particularly in programs that have been identified as having strength or promise and ISU research grant potential; and Establish "cultivation" plan to approach those individuals or organizations

11. Fund 1 Senior Researcher/Endowed Professorship per year
    a. Describe position, include mentoring faculty and grant writing as major duties
    b. Advertise and recruit candidates of promise, conduct interviews, make hire
    c. As part of hire, establish clear expectations for grant proposal productivity, etc.

12. Over time, hire 4-5 senior faculty from Research I universities with solid track records of consecutive years of grant funding. Bring them in as endowed professors and senior faculty to mentor and collaborate with current faculty at ISU.

13. To maximize the benefits of this relatively expensive activity, link these hires with the enhancement of ISU's university level signature centers and institutes, e.g., Rural Studies Institute; or with programs of distinction.

Year Three and On-Going
Competitive Grant Incentive Salary Program for Tenured Faculty

14. Determine if Indiana permits a program that allows bonuses to be given to faculty for grant and contract activity

15. If yes, design a policy for grant funded tenured (and tenure track) faculty that
    a. Provides salary cap equal to US Gov maximum allowable
    b. Provides guaranteed funding for some lesser percentage of that cap
    c. Enables the faculty member to buy out of some or all teaching and service duties.
    d. Provides full salary faculty work time that becomes grant funded

16. Look to aspirational peers for models
    a. Some institutions do this on an individual level
    b. Some do this for whole departments and whole schools
    c. Some permit faculty to form consortia which generate sustained funding

Additional Resources

Michigan State University
https://www.msu.edu/~acadgov/corrage/chap2b.html

Section 2(b) of the Report of the Council on the Review of Research and Graduate Education provides specific philosophies, benchmarks and goals to be followed in order to increase the research activities of faculty at the institution.

University of Louisville
http://louisville.edu/research/strategic-plan/appendix.html

In an effort to become the "Premier Metropolitan Research University," the university developed a strategic plan specifically for research. This included specific goals and tactics to raise the dollar-value of research activities at the university by $18.8 million per year for at least two years.

Bowling Green State University
http://www.bgsu.edu/downloads/gradcol/file56805.pdf

The Executive Summary of Grants and Contracts Activity for Fiscal Year 2005 presents the results of efforts, based on the university's Academic Plan (2003), to increase research and creative activities of both the faculty and their students.

STRENGTHEN THE ENGAGEMENT OF ALUMNI IN THE LIFE OF THE UNIVERSITY

IMPLEMENTATION CHAIR: Chris Hancock

Introduction and Background

Colleges and Universities are continually developing and refining portals that bring alumni together to solidify their connection with their alma mater. This initiative focuses on enhancing existing programs and leveraging new initiatives for the benefit of alumni, students, and the University.

Connection to Strategic Priorities

This initiative relates most directly to:

- Expand and Diversify Revenues
- Increase Enrollment and Student Success
- Enhance Community Engagement

Basic Elements and Brief Description

The steps detailed below articulate the innovated ways in which ISU will strengthen alumni engagement. Furthermore, these steps can be integrated with existing planning undertaken by the ISU Foundation Board of Directors and the ISU Alumni Association Board of Directors to engage alumni in the life of the University.

- **Create an Alumni Center:** An alumni center will provide a destination for visitors, community members, campus colleagues and alumni to use for multi-purposed functions. It increases the exposure of the university to larger audiences outside of the campus community and could serve as a revenue source.

- **Alumni Clubs:** Vibrant, organized and well led alumni clubs are often the strongest indicator of the affinity that alumni have for their university. They serve as a key component in engaging new alumni volunteers/donors, recruiting future students and acting out the values of the university.

- **Membership Growth**: Membership in the alumni association is the best way for alumni to maintain a sustaining relationship with the University. An increased membership provides a broader base of volunteers, supporters and advocates for the University. Additionally, it provides greater financial resources to deliver programs and services to our constituents.

- **Diverse Alumni Constituents:** It is vital that diverse alumni constituents of the university are researched, cultivated, and engaged. Diverse alumni constituents offer tremendous growth opportunities for the university by way of engaging alumni, student recruitment, financial support and providing open communication with key stakeholders.

- **Social Networking:** Although relatively new, social networking (i.e. Facebook, LinkedIn, Twitter, etc.) tools have become another gateway in which alumni can stay connected with their university. They are best utilized to engage alumni when integrated with existing programs and communication methods.

Steps and Timeline

Year One
1. ISU Foundation makes recommendation on Alumni Center.

2. Begin implementing new plan for alumni clubs and put volunteer leadership in place. Focus of the alumni clubs to be on:
   a. Membership Growth
   b. Community Engagement – Service
   c. Student Recruitment

3. Make recommendation to enhance and grow alumni association membership program.

4. Alumni Association Board of Directors makes recommendations regarding diverse alumni constituents.

5. Alumni Staff to develop plan for social networking.

Year Two
1. Complete planning for alumni center.

2. Develop and implement a robust plan for alumni club training/recognition and develop goals for international alumni clubs.

3. Implement new alumni association membership plan.

4. Target social networking to support other initiatives.

5. Implement diverse alumni constituent recommendations.

Year Three
1. Fundraise for new alumni center.

2. Expand alumni clubs.

3. Hit targets.