

Goal 5. Initiative 1. Investing in and Enhancing Scholarship & Research Competitiveness

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BACKGROUND & PURPOSE

The trajectory of externally funded research activity at Indiana State University would best be described as uneven. While ISU experienced record awards in FY06 (\$17.25 million) and the mean annual activity exceeds \$11 million, it is clear that three trends can be readily observed. First, the total number of proposals submitted has decreased substantially as have the total awards. Second, the mean award amount has decreased in recent years. Third, single large grants (such as the Networks funding FY05-07 or ARRA funding FY10-11), contracts (i.e., Caesar’s Casino late-1990s-FY01), or flow-through dollars (i.e., CAPE FY02) have historically contributed to high performance years. As such, the primary challenge facing ISU, as an institution, is to cultivate a culture of research competitiveness that: 1.) encourages, rewards, and recognizes the efforts of faculty, staff, and student involvement in grant writing; 2.) increases the total proposal submissions; and 3.) identifies major externally funded mission-focused programming opportunities.

Summary of Activity¹

FY	Total Proposals	Total Awards	Funds Awarded (millions)	Mean Award	Fund Rate (A/P)	T/TT Faculty	Awards per T/TT Faculty	Funds Awarded per T/TT Faculty
2012	154	103	\$5.99	\$58,155.34	66.88%	376	0.27	\$15,930.85
2011	172	114	\$10.25	\$89,912.28	66.28%	367	0.31	\$27,929.16
2010	213	143	\$13.77	\$96,293.71	67.14%	387	0.37	\$35,581.40
2009	228	100	\$8.52	\$85,200.00	43.86%	402	0.25	\$21,194.03
2008	175	135	\$9.87	\$73,111.11	77.14%	402	0.34	\$24,552.24
2007	225	156	\$14.94	\$95,769.23	69.33%	409	0.38	\$36,528.12
2006	279	174	\$17.24	\$99,080.46	62.37%	412	0.42	\$41,844.66
2005	267	137	\$15.65	\$114,233.58	51.31%	438	0.31	\$35,730.59
2004	239	122	\$10.22	\$83,770.49	51.05%	456	0.27	\$22,412.28
2003	226	126	\$8.69	\$68,968.25	55.75%	440	0.29	\$19,750.00
2002	199	112	\$10.53	\$94,017.86	56.28%	**	**	**
2001	201	135	\$13.01	\$96,370.37	67.16%	**	**	**
2000	221	122	\$14.10	\$115,573.77	55.20%	**	**	**
Mean	215	129	\$11.75	\$90,035.11	60.75%	408.9	0.32	\$28,145.33

¹ As the FY07 Annual Report for the Office of Sponsored Programs notes, continuation awards were excluded from the proposals submitted beginning in FY07. Had the same methodology been used in FY07, the success rate would have been 63.7%. Likewise, the rates for subsequent years have been impacted.

***No data available via the IPEDS HR survey data (Nov 1) from the ISU Office of Institutional Research*

Based on the observed means, ISU's annual research productivity as measured by external monies has the potential to ordinarily reach \$10 million in annual performance—less single extraordinary large program awards. While no doubt the more competitive environment for external dollars may pose challenges going forward², the total number of quality proposals submitted by faculty and staff needs to increase. To accomplish this objective, this initiative proposes several approaches to enhance the competitiveness of ISU research and invest in faculty research and creativity.

Cultivating a Culture of Research

Transforming ISU's culture will require heightened visibility for research and creativity and a re-visioning of the Office of Sponsored Programs as the Office of Research & Creativity. The office will maintain all current activities—and more fully integrate disparate research activities under a single administrative umbrella including the Center for Student Research & Creativity and consolidating other graduate and undergraduate research programs in a single location. The Office of Research & Creativity will also coordinate campus wide recognition programs for faculty with externally supported projects. Additionally, the proposed Office would (if approved) also coordinate and have primary authority for all university-based centers (not departmental) with research revenue potential inclusive of select Unbounded Possibilities initiatives to be determined at a later date. Finally, and perhaps most importantly, the linkage between graduate education, the student experience (both graduate and undergraduate), and extramural research competitiveness needs to be explicit—particularly across the STEM social science, and human services disciplines. With respect to third party contracts and programming, clinical and professional graduate programs can be leveraged to diversify funding.

PAST RESULTS. Not applicable as the proposed activities are new.

WORK PLAN, BUDGET, & DISCUSSION OF LINE ITEMS.

The purpose of the activities outlined below is to increase extramural funding which has lagged in recent years. Since the beginning of the strategic plan, Goal 5 efforts have been limited and a more robust and comprehensive collection of symbolic and material efforts (Goal 5, Initiative 1: Investing in and Enhancing Scholarship & Research Competitiveness) is being proposed. The proposed initiative includes six inter-connected activities over a two-year period: 1.) COMPETE Grant Program (\$100,000); 2.) Faculty Research Fellow with grant writing responsibilities (\$15,000); 3.) Realignment of University Research Committee grant program with competitive priorities (i.e., Goal 5); 4.) Assess Business Practices; 5.) Resubmission Incentives (\$7,500); 6.) Strategic Travel (\$15,000); and 7.) Scholar Recognition (\$2,500).

² With the exception of American Recovery and Reinvestment Act (FY10-FY11) impacts, federal R&D spending has steadily declined since FY04 (AAAS 2009). The result has been a recalibration of research expectations for research funding at many regional universities (Kelderman 2011), as well as major research universities (NSB 2012). More recently, the budget implications of “sequestration” have further altered the environment for research funding (see Field 2013; Gardner 2013). Based on a recent report from the NIH, the overall implications will be significant and translate into a reduction in dollars (\$1.7 billion) and total awards funded (nearly 703 fewer new grants and nearly 1,400 fewer grants overall) (Kaiser 2013).

The total FY14 request is for \$140,000. It is anticipated that FY15 will include a request for \$122,500. In FY16, the request will decrease to \$15,000. The seven proposed activities are presented below.

In addition to the requested activities, G511 requests any remaining monies be carry forwarded to support expanded PI travel as a supplement to the proposed activity #6, as well as to obtain proposal consultants on a case by case basis.

Activity 1. COMPETE—FY14 Request \$100,000 (FY15 request will be \$100,000).

The COMPETE Grant Program will provide tenured and tenure track faculty (PIs and Co-PIs) with seed monies (up to \$10,000) to perform pilot research projects, prepare derivative grant proposals based on current research, and develop sustainability plans for individual or team research agendas. The proposed competition will prioritize research initiatives that make a clear and evident linkage to external funding agencies. The proposed program will begin with a grant competition in the Fall 2013 semester with awards and expenditures permitted through September 15, 2014. The proposed program will require a two year commitment. The program will require faculty investigators to submit a(n):

1. Abstract (1 page maximum);
2. Brief description of the project which explicitly notes broader impacts (3 page maximum);
3. Sustainability plan that explicitly demonstrates a plan to leverage the COMPETE monies at least ten-to-one in direct costs which includes references to specific RFPs and solicitations and a repayment plan, if not fully implemented (1 page maximum);
4. Bibliography (1 page maximum);
5. Budget and Budget Justification (2 page maximum); and
6. Biography of PI and Co-PI(s) consistent with the 2-page NSF biographical sketch.

All participants and awardees will commit to fulfilling all of the elements of the proposed sustainability plan including resubmission of subsequent proposals based on feedback at least once (if external funding is declined upon initial submission). The departments, allied centers, and home colleges of awardees who fail to fulfill obligations (i.e., good faith proposal submissions and resubmissions) outlined in the sustainability plan within twelve (12) months of the award end date will be required to reimburse the strategic plan using existing resources (i.e., budget, in-kind vis-à-vis reduction of instructional buy-outs/overloads, subvention, or other strategic plan resources). While repayment is an undesired outcome, COMPETE proposals will need to include a potential re-payment plan as part of the sustainability plan. The COMPETE program will prioritize funding requests based on the following criteria: 1.) Student Research Experiences (graduate and undergraduate); 2.) Sustainability plans that identify multiple funding opportunities; 3.) Opportunities for federal and/or state funding; and 4.) Multi-disciplinary research teams. Funding decisions will be based on the results of external peer review and the assessment of the Council for Research & Creativity.³ The proposed deadline for applications is

³ Once formally established the Council for Research & Creativity will oversee the program. Prior to formally constituting the proposed group, the internal review will be performed by an ad hoc committee of 5-7 faculty inclusive of representation from the URC.

November 8, 2013 with awards announced prior to winter break. The objective is to fund 10-12 proposals in FY14 and 10-12 proposals in FY15. The COMPETE program would become a biennial competition in FY17 that would be funded through indirects (F&A recovery) with a projected budget of \$50,000. The COMPETE grant will be used to supplement existing URC monies beyond FY17 with the explicit intent to increase total proposals and enhance the competitiveness of proposals submitted.

Activity 2. Faculty Fellow for Research Administration—Request \$15,000 (annual request).

The proposed Faculty Research Fellow will facilitate the development of grant writing teams across the university with an emphasis on expanding k-12 partnerships, undergraduate support programs, and major mission-driven university initiatives/opportunities. The Faculty Research Fellow will be appointed in Fall 2013 and receive a two course buy-out (1-fall and 1-spring) and an administrative stipend. It is expected that the fellow will identify and submit no less than five (5) collaborative programming grants (as PI or co-PI—or perhaps facilitator) over the course of the appointment excluding renewals. The proposed budget is \$15,000. The requested monies will be used to replace teaching (up to \$3,500 per semester to the home college) and to provide an administrative stipend (Fall/Spring \$4,000; Summer \$4,000).

Activity 3. University Research Committee and Arts Endowment Committee—No Request.

The Office of Research & Creativity (ORC) will work with the URC and AEC to identify and articulate program requirements that align with the strategic plan—specifically Goal 5. Additionally, the ORC will work with faculty governance to create a single university-wide Council for Research & Creativity⁴ to replace the URC and AEC. The research grant and arts endowment awards will remain distinct individual programs. The objective of the proposed council is to enhance the overall visibility of scholarship across campus and highlight the many contributions of faculty to their disciplines and the community. The council will also enable faculty to play an increased role in relevant policy and decision making. In FY14 and beyond, URC funds will be limited to base dollars as indirects will be used to fund the proposed COMPETE competition beyond FY15. In FY14, AEC funds will be supplemented by indirect monies that will not exceed the AEC base budget. In FY15, the CRO will work with the Council for Research & Creativity (if approved by the Senate) to draft and propose promotion and tenure language on extramural grants and contracts (submissions and awards).

Activity 4. Assess Business Practices—No Request.

Over the past several years, the Office of Sponsored Programs, IRB, and IACUC have substantially improved prior practices vis-à-vis the deployment of electronic routing and review systems. The intent is to review current efforts and continue to improve overall service to the campus community. Additionally, a focused effort will be undertaken to expand/enhance student research and/or expand

⁴ Conceptually, the Council could be composed of 9 Faculty Senate appointees (inclusive of at least 4 individuals with prior or current external grant/contract funding and at least 4 members of the fine and performing arts disciplines). Additionally, the CRO, Director of Sponsored Programs, and Director of the CSRC would serve as ex officio members of the group.

professional development opportunities. Finally, a single one-stop information center for research, akin to Sycamore Express, for faculty, staff, and students will be created.

Activity 5. Resubmission Incentives--\$7,500 (FY14 and FY15).

OSP staff will review federal grants submitted that received a favorable (or positive) rating (i.e., competitive)—but did not receive funding over the past two fiscal years. OSP will invite PIs and Co-PIs to resubmit based on panel and peer reviewer feedback. Provided the grant has been revised, response to reviewers annotated, and resubmitted for consideration to the prior grant agency, \$500 will be placed in a professional development account for the PI and/or distributed equally across Co-PIs. Resubmissions will need to be processed through OSP no later than June 30 to be included as a FY14 activity. Grants and resubmissions derived from the COMPETE project are excluded from resubmission eligibility and submission/resubmissions are required as part of the sustainability plan. In FY16, the program will be assessed and, if appropriate, continued using existing base dollars or F&A recovery.

Activity 6. Strategic Travel--\$15,000 (FY14 only).

A pool of resources is requested to support travel to and from Washington, DC, Indianapolis, and campuses across the region (Indiana, Illinois, Ohio, Kentucky, Michigan) with the intent to develop new strategic research collaborations and to showcase (market) prominent ISU research activities to stakeholders (i.e., state legislators, state/federal agencies, and members of Congress). These strategic efforts will be done in collaboration with the Executive Director for Governmental Relations. Beyond FY14, strategic travel will be funded using existing base dollars.

Activity 7. Scholar Recognition--\$2,500 (FY14 only).

Scholars will be more formally recognized through the process including recognition following submissions and upon award notification. Following all proposal submissions, the CRO and home college dean will acknowledge the individual and collective efforts of PIs and Co-PIs by a formal co-signed letter. At the time of any award, PIs and co-PIs will receive formal recognition from the president of the university and a “Research & Creativity” challenge coin from the Office of Research & Creativity. Beyond FY14, the recognition program will be funded with existing base dollars or F&A recovery monies.

REPORTING & DELIVERABLE SCHEDULE

Initiative 3 will report out as part of the annual Goal 5 reporting out session in Spring 2014. Given the nature of deliverables, the unique timelines of grants/RFPs, and the proposed timelines outlined above the benchmarks will be proposal based through FY16.

STAKEHOLDERS & MANAGEMENT PLAN

The primary stakeholders for the proposed project are the faculty, colleges, and Office of Sponsored Programs (to be renamed Office of Research & Creativity). The initiative will be managed by the proposed Office of Research & Creativity and the chief research officer will function as the initiative chair.

ASSESSMENT

The proposed initiative and activities focus on enhancing research and creativity broadly conceptualized with a specific focus on extramural funds. The proposed project seeks to increase the total number of proposals submitted and grants awarded—as well as link the success of ISU’s extramural competitiveness to graduate education. Initiative 1 proposes expanded benchmarks that link to activity outcomes: Resubmissions; COMPETE Applications; COMPETE awardee submissions; and COMPETE awardee grants/contracts. The prior year benchmarks will be revised to focus solely on F&A generated, total funds awarded, total awards, and total proposals.

While the FY17 goal may be ambitious and the new funding environment more challenging, the data suggest ISU has the capacity to reach projected targets. For example, 165 awards in FY17, assuming a mean award of approximately \$90,000, translates into \$14.8 million in revenue. If the mean award amount for only the highest 5-years since 2000 is considered (~\$104,000), the projected total would exceed \$17 million. As such, a renewed commitment to pursuing creative mission focused grants (i.e., Networks, community partnerships, and so on), increasing contracts, and expanding support for and the competitiveness of individual investigators should yield additional awards and resources. Since FY14 will be the first year of the initiative and data on critical data points (such as resubmissions) have not been collected, the proposed benchmarks are best estimates. By the close of the strategic plan, it is anticipated all of the activities will be funded using existing base dollars or F&A recovery with the exception of the faculty fellow. In FY17, a request will be made to create a base budget request to fund the fellow and/or transform the position into a FY special assistant for research administration focused on entrepreneurial activities.

Sources.

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COMPETE

AN INITIATIVE TO ENHANCE RESEARCH & CREATIVITY

The COMPETE internal grant program is intended to provide tenured and tenure-track faculty with research experiences and resources to enhance the overall competitiveness of ISU grant proposals. The COMPETE grants will serve as the foundation for future grant submissions with the expectation that recipients will submit multiple grants proposals to external funding bodies no later than September 15, 2015 inclusive of resubmissions.

To participate in the grant competition, PI and Co-PIs are required to submit proposals electronically as PDFs no later than noon Monday October 28, 2013. Awards will be made prior to January 1, 2014, funding begins February 1, 2014, and all expenditures must be made by September 15, 2014. The proposals must include the following required components and documents are to be prepared by the PI and Co-PI:

Abstract (1 page maximum). A brief one or two paragraph summary of the project, contribution, and the submission plan.

Project Description (3 page maximum). The project description should outline the proposed research and articulate the broader impacts and/or significance of the project (i.e., research or creative work) in such a fashion as to demonstrate its potential competitiveness for extramural research. Please note, the COMPETE program emphasizes research performance that will lead to subsequent grant submissions and not proposal development per se.

Evidence of External Funding Opportunities & Submission Plan (1 page maximum). PIs and Co-PI must demonstrate that multiple potential funding opportunities exist (i.e., RFPs, solicitations, etc.) and outline a plan for submitting proposals consistent with the COMPETE timeline. The plan must seek to leverage the COMPETE monies at least ten-to-one in direct costs. All awardees will be expected to submit high quality proposals (as well as make “good faith” derivative resubmissions, if initial proposals are not funded) to have fulfilled the expectations and intent of the program. Should awardees not fulfill all components of the plan and/or submit multiple proposals, the program will require repayment of any expended grant monies.¹ As such, the plan should identify general departmental, college, or center resources that will be used to reimburse the program, if necessary. Please note, tuition waivers and stipend monies allocated to the department cannot be used as part of any repayment strategy. The plan obligations (i.e., grant submissions) must be fulfilled no later than September 15, 2015 (1 page maximum).

Bibliography (1 page maximum). All works cited should be included in the bibliography (1 page maximum).

¹ PIs and Co-PIs should consult their chairpersons, center directors, and dean to identify potential resources. The plans are encouraged to be creative and may use base budget resources, subvention (F&A), one-time monies or other resources. Any unused monies from awarded grants will be excluded from any repayment obligations. Proposed budget cost shares (i.e., match) for any COMPETE award can be used to partially off-set any future repayment obligations (or up to 50% or a maximum of \$5,000 whichever is lower). For example, a \$7,500 match would yield a potential repayment credit of \$5,000 on a \$10,000 award.

Budget and Budget Justification (2 page maximum). The budget and budget justification should conform to the current templates used by the Office of Sponsored Programs and should include all direct costs. Any and all departmental resources used to support the COMPETE application should also be noted and should be referenced as a cost share relative to potential repayment obligations. The maximum award will be \$10,000. Monies not expended by September 15, 2014 will be swept. All funds will be placed in a dedicated budget index for each award.

Biographical Sketch. The PI and Co-PI(s) are required to submit 2-page biographic sketches using the general style of the National Science Foundation. Bio-sketches are not required for students or other senior personnel. Please note, samples and templates are readily available on the internet.

Eligibility. All full-time faculty (i.e., regular) with a multi-year appointment are eligible to participate. No single faculty member may serve as PI on more than one proposal and/or Co-PI on more than one additional inter-disciplinary research team. Hence, individuals may not be affiliated with more than a maximum of two proposals.

Priorities & Selection Process. The COMPETE program will prioritize funding requests based on the following criteria: 1.) Student Research Experiences (graduate and/or undergraduate); 2.) Submission plans that identify multiple funding opportunities; and 3.) Multi-disciplinary research teams. Funding decisions will be based on the results of external peer review and the assessment of an ad hoc committee comprised of representatives from the University Research Committee, Arts Endowment Committee, and the Office of Sponsored Programs. Additionally, the dean of research and graduate education will chair the selection committee.

Submissions. All proposals must be received no later than noon Monday October 28, 2013 to via email as a single PDF² to Dr. Leah Nellis, Faculty Fellow for Research Administration [Leah.Nellis@indstate.edu].

² Only PDF files will be accepted. PDFs can be created using Adobe Acrobat or the "Save as PDF" function in Word 2010.

Indiana State University

Routing Form for COMPETE

Project Title:	
Date of Submission:	

The signatures of the PI and Co-PI below represent a commitment to fulfill the expectations of the grant program inclusive of the submission requirements and any repayment obligation.

Project Team:			
Principal Investigator:			
Printed Name:		Signature:	
Department:		College:	
Email:		Phone:	
Co-Principal Investigator:			
Printed Name:		Signature:	
Department:		College:	
Email:		Phone:	
Co-Principal Investigator:			
Printed Name:		Signature:	
Department:		College:	
Email:		Phone:	
Co-Principal Investigator:			
Printed Name:		Signature:	
Department:		College:	
Email:		Phone:	

By signing the routing form, we acknowledge that we have reviewed the proposal and support it. Additionally, we support the proposed repayment plan (if applicable) should the submission expectations not be met.

Signatures:			
Department Chair of Principal Investigator:			
Printed Name:		Signature:	
College Dean of Principal Investigator:			
Printed Name:		Signature:	



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COMPETE PEER REVIEW

CONTEXT: The purpose of this peer review is not to perform a discipline-centered review per se. Instead, the review is intended to be from the perspective of a learned reader familiar with competitive funding programs, research administration, and/or building interdisciplinary research teams. This is a pilot program intended to encourage enhanced grant submissions and the objective is to begin the process of broadening the culture of funded research across campus.

Due Date: Please submit the review to Leah.Nells@indstate.edu no later than noon Friday November 22, 2013.

Proposal Title: [INSERT TITLE PRIOR TO SENDING]

Reviewer: [INSERT TITLE PRIOR TO SENDING]

In your professional opinion, does this research have the potential to be externally competitive to federal /state agencies or other funding bodies (including foundations)?

Is/are the researcher(s) sufficiently qualified to perform the research, have the potential to be successful and/or demonstrate a record of prior accomplishments to warrant the proposed institutional investment of resources?

Is the budget appropriate for the project and reasonably justified? If no, please comment.

On a scale of 1-5, how would you rate the overall quality of this research as proposed—with 5 being the highest or strongest rating?

1 2 3 4 5

Given the COMPETE program’s articulated priorities, how would rate the proposal on the following priorities:

A. Student Research Experiences (graduate and/or undergraduate)

High Medium Low

B. Funding opportunities and submission plan that identifies multiple funding opportunities

High Medium Low

C. Multi-disciplinary research teams

High Medium Low



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Proposal Resubmission Incentive Fund

PIs and Co-PIs for prior unfunded grants with budgets exceeding \$50,000 in direct costs and ratings that ordinarily would warrant funding from a federal or state agency in a different budget environment (Examples include NSF's "Excellent" or "Very Good" rating, NIH Impact Scores between 10-45, or another scoring system or language that clearly suggests a proposal is "fundable" or "competitive" or "high quality") are encouraged to revise and resubmit their proposals to the same agency (if permitted) and/or revise and send to a subsequent agency or funding body. As proposals often evolve over time, PIs or Co-PIs participating in the incentive program may submit derivative and/or substantially revised proposals based on explicit reviewer feedback that may also suggest an alternate approach or funding agencies. Re-submissions associated with non-competitive proposal submissions or without formal proposal feedback, as well as contracts, are ordinarily ineligible for the incentive. However, interested individuals should contact Dr. Nellis to determine if participation in the program would be appropriate.

Eligibility: All faculty (tenured, tenure track, instructors, or adjuncts) and professional staff who served as a PI or Co-PI on a prior competitive (but unfunded) proposal submitted within the last 24 months.

Incentive: Participants will receive professional development monies to assist with travel and other expenses. The total amount will be determined by the total participants: \$500 for submissions with a single investigator and \$750 for submissions with more than one investigator. The funds can be used to support/reimburse travel, equipment purchases, or other needs that might support the research of the PI, Co-PI and/or students.

To participate in the incentive program, please contact, Dr. Leah Nellis, the Faculty Fellow for Research Administration [Leah.Nellis@indstate.edu].