

**Illinois State University
Academic Affairs
FY17 Planning Document**

Office of the Associate Vice President for Research
*Research and Sponsored Programs
Research Ethics and Compliance
Federal Government Relations*

I. Major Objectives for FY17

Goal 1. Continue implementation of the Research Strategic Plan in support of *Educating Illinois*.

- Create, develop, and sustain policies and programs that enhance the national and international profile of research, scholarship and creative activities beyond mere grant-writing.
- Work toward the integration of pre- and post-award services in a new *Center for Research and Scholarship* that would provide support to research in all of its facets (e.g. writing for publication, securing external funding, research design, statistical consulting).
- Improve the processes and procedures related to developing, submitting, and administering grants and contracts, using the 2016 Internal Audit grant administration review report and the 2012 Peer Review by the National Council of University Research Administrators (NCURA) as guides.

Goal 2. Increase the total number of requests for external funding by providing enhanced support for faculty research and grant activities.

- Provide startup funding for new faculty members to support their scholarly efforts.
- Strengthen programs to assist faculty to find and apply for funding from federal, corporate, and State of Illinois sponsors. Promote the use of the existing grant database Grant Forward.
- Improve the funding rate of submitted proposals by enhancing departmental services that assist faculty in preparing competitive applications.
- Facilitate/coordinate large or complex grant initiatives, especially interdisciplinary campus teams having shared research agendas.
- Identify priorities of external funding agencies and match with internal research strengths.
- Support and encourage selected departments applications by working with Hanover Research to provide preliminary reviews prior to submission.
- Encourage new and less experienced faculty to take advantage of external funding opportunities through expansion of the RSP's proposal development support.
- Provide travel support enabling prospective principal investigators to meet with program officers of funding agencies.
- Encourage Colleges and Departments to place an increased emphasis on faculty efforts to secure external funding in ASPT evaluation instruments.
- Encourage faculty to strengthen programs of undergraduate research and to become active members of the Council on Undergraduate Research.

Goal 3. Improve administrative processes in proposal submission, post award administration, and intellectual property/export control.

- Work to improve the rapport between PIs and RSP, while emphasizing RSP's role is both a service friendly unit and a regulatory/compliance office.
- Explore the implementation of comprehensive post-award management.
- Make information regarding all aspects of managing grants more available to faculty and staff.
- Broaden services to monitor and address issues related to expending funds in a timely fashion.
- Make the processes and procedures for grant submission through Cayuse SP more transparent to deans, directors, department chairs and faculty.
- Support faculty members' interests in intellectual property management and technology transfer licensing opportunities.
- Refine the procedures for handling of intellectual property/technology transfer.
- Continue building the infrastructure for ensuring campus-wide compliance with export control regulations.
- Strengthen staff competencies through professional development opportunities.
- Implement a redesigned financial conflict of interest disclosure process to effectively manage required annual disclosures by faculty.

Goal 4. Improve awareness, understanding, and application of federal guidelines and best practice in research ethics and compliance.

- Continue to facilitate and support best practices in the protection of human subjects in research.
- Review the Institutional Review Board's Policies and Procedures manual and explore administrative approaches for reducing protocol review times.
- Continue to facilitate and support best practices in the humane care and use of animals in research.
- Facilitate and support best practices in managing significant financial interest issues.
- Make a more robust system for verifying congruence between IRB/IACUC protocols and funded projects.
- Collaborate with Grants Accounting and the Comptroller's Office to implement and refine procedures in managing institutional awards made by external sponsors.
- Implement an Export Control program that will reduce University-wide risks when engaging international research and scholarly activities.
- Enhance understanding of University academic integrity policies and the responsible conduct of research.

II. Permanent Funding Requests

Priority 1. Human Subjects Research Specialist. The Human Subjects Research Specialist will assist the Office of Research Ethics and Compliance with processing IRB protocols and reviewing applications for exempt studies. This position is critical for maintaining compliance with our federal assurances and would be implemented along with the elimination of the departmental reviewer structure currently in place for human subjects research. **Request: \$52,000/yr (CS)**

Priority 2. Post-Award Grant Administrators (2). These staff positions are critical for improving the quality of grants management (post-award). Many campuses distribute grant-management positions throughout colleges and/or departments, but because of the lower level of grant activity at ISU, the campus could be served by two centralized grants administrators. These staff would manage all post-award programmatic functions such as prior approval requests, budget management, monitoring of expenditures, and fiscal compliance review. A coordinated presence in such a role would free faculty from many of the time-consuming administrative duties that detract from productive time on the project. Furthermore, these positions would provide coordinated answers to PI's questions and thus reduce the instances of inconsistent advice given by different support offices. The positions will therefore greatly improve overall faculty productivity and allow for more effective teaching, scholarly activity, and service. **Request: \$120,000/yr (CS)**

Priority 3. Undergraduate Research Fellowship (URF) and Undergraduate Creative Expression Fellowship (UCEF). Student research and creative expression is a critical component of undergraduate students' experiences in many programs at Illinois State University. Support for these students can be obtained through grants and contracts, however the number of students wishing to engage in these experiences greatly outnumbers the positions available through external funding. We propose to support the student experience directly through undergraduate research and creative expression fellowships, a mechanism that is commonly funded by central administrations of colleges and universities throughout the country. In the past, RSP has attempted to establish these programs using its own budget, but student demand has greatly exceeded available funds. In summer 2014, for example, less than 20% of the applications could be funded, meaning that more than 80% of the students were left without support. This high rejection rate caused hard feelings toward a program that should be viewed as an important source of support. (An informal survey taken by the AVP of Research at a recent Council on Undergraduate Research revealed that typical funding rates at other colleges and universities are in the 60-100% range.) To reach a success rate of 60%, we require approximately 25 \$3500 summer stipends and 25 \$1,000 semester stipends. The AVP for Research and Graduate Studies will add \$750 in commodities/equipment/travel for each summer fellowship awarded and \$250 for each semester fellowship awarded. **Total Request: \$112,500/yr (student wages, commodities, equipment), excluding \$25,000 committed by the AVP for Research and Graduate Studies**

Priority 4. Center for Student Research. Undergraduate research is widely recognized as a high impact educational practice (HIEP). Many universities and colleges have established undergraduate research offices that coordinate services, advertise opportunities, and provide funding for students participating in research and creative activities. These offices also frequently work to expand the range of research opportunities to include students in fields where undergraduate research is less common (typically the humanities and social sciences). In addition, these offices typically coordinate educational programming (in the form of workshops) for students in areas as diverse as making an effective oral/poster presentation, ethics in research, and navigating the IRB process. We propose to establish a Center for Student Research

that will build on current student research efforts on campus and provide a support mechanism for existing students while expanding opportunities for students in other disciplines. We propose to establish the Center initially using a half-time director who is a faculty member on assignment to the Center. Current staff in the Office of the AVP for Research and Graduate Studies will initially provide support for the Office. **Request: \$25,000/yr (faculty buyout)**

III. Strategic Budgeted Carryover

- 1. Excess Funds for Faculty Support.** We request to carry over funds for two fall programs: New Faculty Support (\$175,500) and Cross Disciplinary Grants (\$5,200). **Request: \$180,700**
- 2. IRB Chair Stipend.** The Institutional Review Board (IRB) Chair is paid a stipend to compensate for the time required to chair this federally-mandated compliance committee. Indirect cost funds are used to pay this stipend, but because these funds are received in early spring and the payment is made early in the next fiscal year (months before the next indirect costs arrive), funds must be carried over to make this payment on time. **Request: \$8,500**
- 3. IRBNet Protocol Management System.** Research Ethics and Compliance implemented an electronic protocol management system in FY16. The subscription period is July 1 through June 30. We would like to utilize funds received in the Spring Indirect Cost distribution for this early fiscal year cost. **Request: \$19,000**
- 4. InfoReady Web-based Internal Competition System.** Faculty apply for internal funding through this competition system. The subscription period is July 1 through June 30. **Request \$8,000**
- 5. Washington DC Intern Program Student Housing.** The Colleges transfer funds to Research and Sponsored Programs to pay the intern student housing. A prorated portion will be charged in FY17, therefore we would like to carry over the funds. **Request: \$22,282**

IV. Provost Enhancement Requests

Priority 1. Seed Funding for Cross-Disciplinary Research. The Office of the AVP for Research and Graduate Studies already funds a Cross-Disciplinary Research Grant program at a rate of \$25,000/year. Because of the increasing importance of cross-disciplinary collaborations in securing funding, we propose to double the amount of grants available in this program so that research teams at Illinois State University can be better positioned for obtaining such external funding. This program will provide seed money for collaborative research programs. **Request: \$25,000 (to be matched by AVP for Research and Graduate Studies)**

Priority 2. Grant Mentorship Program. We propose to create a grant mentoring workshop series for new or inexperienced investigators. This workshop series will be cohort-based and developed by existing RSP personnel. The program will be limited to 10 participants, and each participant will receive seed funding for his/her research program upon successful completion of the program. This program will replace the current Grant Mentorship Program (faculty course buyout and a stipend for the mentor) that has not met expectations. **Request: \$40,000 (\$4,000/participant)**

Priority 3. Redbird Scholar. To increase the visibility of research, scholarship, and creative expression, the Office of Research and Graduate Studies has partnered with University Marketing and Communications, Media Relations, the Graduate School, and Research and Sponsored Programs to publish *Redbird Scholar*, a magazine devoted to the scholarly activities of faculty, students, and staff. The publication is issued twice annually. We propose a cost-share to defray the cost of producing the magazine. **Request: \$10,000 (to be matched by the AVP for Research and Graduate Studies)**

V. Personnel Requests: Tenure Track Faculty

None

VI. Personnel Requests: Tenure Track Faculty-Non-reappointment or tenure-denial/death

None

VI. Facilities Requests

None