

**Illinois State University
Academic Affairs
FY18 Planning Document**

Office of the Associate Vice President for Research
Research and Sponsored Programs
Research Ethics and Compliance

I. Major Objectives for FY18

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 grant-writing.
- Complete the integration of pre- and post-award services in Research and Sponsored Programs, providing support to research in all of its facets.
- Continue to 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.

- Continue to make startup funding for new faculty members a top priority, thus supporting the establishment of their research and 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 Grant Forward to assist grant seekers in being more aware of RFP's and opportunities to seek funding.
- Enhance departmental services to focus on assisting faculty in preparing competitive applications.
- Facilitate and assist in the coordination of large or complex grant initiatives, especially interdisciplinary campus teams having shared research agendas.
- Develop a with a Center and Institute policy that can be implemented in FY19.
- Identify priorities of external funding agencies and match with internal research strengths of individual faculty.
- Provide travel support enabling prospective principal investigators to meet with program officers of funding agencies.
- Work with the Provost and AVP for Research to 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.
- Implement a comprehensive award management division within RSP.
- 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.
- Develop processes and procedures for grant submission through Cayuse SP so that deans, directors, department chairs, and faculty can be aware of commitments made in applications.
- Support faculty members' interests in intellectual property management and technology transfer licensing opportunities.
- Deploy professional development discussions about intellectual property and 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. Incorporate suggestions of the IRB Task Force, the part-time Certified IRB Specialist employed in 2017, and the revised regulations that take effect in January 2018.
- 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.
- Continue to improve the 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.
- 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. Award Administrators (2 additional positions).** 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 members (3 total) 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. 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 satisfaction and allow for more time to be devoted to 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. **Professional Development.** Conferences such as National Council of University Administrators and Society of Research Administrators, among others, will be utilized for new staff in RSP. New staff include a Contract Specialist and three Award Managers. **SBC: \$15,000**

IV. Provost Enhancement Requests

Priority 1. 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