

# Office of Sponsored Projects & Research

## Annual Report 2008-2009



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**Table of Contents**

Overview.....3

Internal Grant Programs Summary .....4

External Grant Proposal Summary.....8

External Grant Award Summary.....9

Outreach Efforts Summary.....10

Noteworthy Developments.....12

Goals for the Upcoming Year.....14

## Overview

The mission of the OSPR is to provide high quality support for faculty and staff interested in seeking grant funding for research, training, service and other projects. This includes assistance in all phases of pre-award grant activity: identifying funding opportunities, proposal development and submission, and negotiation/acceptance of awards. Working closely with the Business Office, OSPR also provides assistance and support for post-award issues.

Our efforts directly serve two of the College's primary goals on a daily basis:

- ***To significantly enhance and become recognized for the quality of our academic programs and the academic achievements of our faculty and students.***
- ***To invest in faculty and staff so they can provide leadership for the College's transformation.***

In pursuit of these goals, OSPR administers several internal grant programs aimed at supporting the scholarship and professional goals of our faculty and students, as well as providing hands-on assistance with external grant proposals. Additionally, OSPR, along with the Business Office and other campus partners, helps ensure the College's compliance with the many regulations regarding sponsored projects and research.

Notable accomplishments from FY09 include submitting our first application to the National Institutes of Health (NIH) as a lead institution. This particular application arose as a result of the unique opportunities presented this year through the American Recovery and Reinvestment Act (ARRA). However, there will be future opportunities to submit proposals to NIH's traditional programs, and Keene State College is now set up to do so. Indeed, planning for another NIH submission in October is already underway. Additionally, KSC has been an active partner in New Hampshire's effort to secure INBRE funding from NIH (under the direction of lead institution Dartmouth College), and we will continue these efforts in the coming fiscal year.

In many ways, OSPR is still in its design phase. With a new Director, this past year has been a year of observing the processes already in place and understanding where improvements are needed moving forward. This policy/procedure work will continue throughout the next fiscal year as Keene State College positions itself for growth within the area of sponsored projects and research.

## Internal Grant Programs

### Summary

The existence of internal grant programs represents a significant investment by the College in our faculty and students. The Faculty Development Grants, Adjunct Faculty Professional Development Fund, and the Undergraduate Grant Program are each administered by OSPR with the aid of committees made up of faculty either voted on by the bargaining unit (in the case of the two faculty programs) or appointed by the Deans of the three academic schools (in the case of the undergraduate program). The respective committees evaluate all proposals, make all funding decisions, and advise on appropriate program guidelines, requirements, and procedures. These committee members provide an essential service to the College, approaching their work with a high degree of integrity and professionalism. Their efforts are central to achieving our goal of being recognized for the academic achievements of our faculty and students. OSPR thanks them for their service.

#### 2008-2009 Committee Membership:

| <b>Faculty Development Grants</b> | <b>Adjunct Faculty Professional Development Fund</b> | <b>Undergraduate Grants</b> |
|-----------------------------------|--|-----------------------------|
| Peggie Partello (Mason Library)   | Rodger Martin (A&H)                                  | Susan Menees (S&SS)         |
| Maura Glennon (A&H)               | Deborah Doubleday (A&H)                              | Loren Launen (S&SS)         |
| Kathleen Johnson (S&SS)           | Stephen Collins (A&H)                                | James Stemp (S&SS)          |
| Brinda Charry (A&H)               |  | Larry Benaquist (A&H)       |
| Melinda Treadwell (P&GS)          |  | Melinda Treadwell (P&GS)    |

## Internal Funding Proposals/Awards Data by School

| Internal Funding Programs     |   |     |                         |   |     |                       |               |                              |   |     |                         |   |     |                       |               |                              |
|-------------------------------|---|-----|-------------------------|---|-----|-----------------------|---------------|------------------------------|---|-----|-------------------------|---|-----|-----------------------|---------------|------------------------------|
|                               | FY08  |     |                         |   |     |                       |               | FY09                         |   |     |                         |   |     |                       |               |                              |
|                               | Number of Proposals & Percent of Total Proposed |     | Total Dollars Requested | Number of Awards & Percent of Total Awarded |     | Total Dollars Awarded | Average Award | Program Overall Success Rate | Number of Proposals & Percent of Total Proposed |     | Total Dollars Requested | Number of Awards & Percent of Total Awarded |     | Total Dollars Awarded | Average Award | Program Overall Success Rate |
| <b>Faculty Dev Grants</b>     | 33  |     | \$63,183                | 24  |     | \$44,429              | \$1,851       | 73%                          | 29  |     | \$65,658                | 17  |     | \$25,835              | \$1,520       | 59%                          |
| Arts & Humanities             | 16  | 48% | \$29,602                | 9   | 38% | \$16,798              | \$1,866       |                              | 9   | 31% | \$17,213                | 7   | 41% | \$8,852               | \$1,265       |                              |
| Prof. & Grad Studies          | 9   | 27% | \$17,035                | 7   | 29% | \$11,088              | \$1,584       |                              | 8   | 28% | \$18,203                | 1   | 6%  | \$600                 | \$600         |                              |
| Sciences & Social Sci.        | 6   | 18% | \$12,206                | 6   | 25% | \$12,203              | \$2,034       |                              | 12  | 41% | \$30,242                | 9   | 53% | \$16,383              | \$1,820       |                              |
| Mason Library                 | 1   | 3%  | \$1,840                 | 1   | 4%  | \$1,840               | \$1,840       |                              | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              |
| Other                         | 1   | 3%  | \$2,500                 | 1   | 4%  | \$2,500               | \$2,500       |                              | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              |
| <b>Adjunct Fac Dev Grants</b> | 10  |     | \$6,093                 | 8   |     | \$3,667               | \$458         | 80%                          | 14  |     | \$7,361                 | 9   |     | \$4,000               | \$444         | 64%                          |
| Arts & Humanities             | 9   | 90% | \$5,193                 | 7   | 88% | \$2,967               | \$424         |                              | 9   | 64% | \$4,033                 | 5   | 56% | \$1,775               | \$355         |                              |
| Prof. & Grad Studies          | 1   | 10% | \$900                   | 1   | 13% | \$700                 | \$700         |                              | 3   | 21% | \$1,590                 | 3   | 33% | \$1,025               | \$342         |                              |
| Sciences & Social Sci.        | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              | 2   | 14% | \$1,738                 | 1   | 11% | \$500                 | \$500         |                              |
| Mason Library                 | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              |
| Other                         | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              |
| <b>Undergraduate Grants</b>   | 25  |     | \$14,282                | 20  |     | \$10,972              | \$549         | 80%                          | 28  |     | \$19,086                | 17  |     | \$12,116              | \$713         | 61%                          |
| Arts & Humanities             | 5   | 20% | \$3,422                 | 2   | 10% | \$2,088               | \$1,044       |                              | 8   | 29% | \$5,293                 | 3   | 18% | \$2,083               | \$694         |                              |
| Prof. & Grad Studies          | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              |
| Sciences & Social Sci.        | 20  | 80% | \$10,860                | 18  | 90% | \$8,884               | \$494         |                              | 20  | 71% | \$13,793                | 14  | 82% | \$10,033              | \$717         |                              |
| Mason Library                 | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              |
| Other                         | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              | 0   | 0%  | \$0                     | 0   | 0%  | \$0                   | \$0           |                              |

\*Total dollars awarded for the Faculty Development Grant Program appears to have dropped significantly from FY08 to FY09. However, this fund rolls over from year to year, and when OSPR took over administration of the fund in FY08, there were unspent funds available. We do not anticipate such large fluctuations in dollars awarded in the future.

### Summary

All three grant programs increased in their competitiveness, as shown by the decrease in their respective Overall Success Rates from FY08 to FY09. Additionally, the average award size for two of the programs (Faculty Development Grants & Adjunct Faculty Development Grants) decreased, with committees often being able to award only partial funding for projects.

## **Future Directions**

Given the increasingly competitive nature of our internal grant programs, each committee has worked hard to utilize the funds available in the best possible way, and made end-of-year recommendations in that regard. The major recommendations made by each committee are presented in the following pages.

### **Faculty Development Grant Committee**

- The committee recognized that this program has become very competitive. In order to make the best funding decisions possible, they set specific priorities for the types of activities to be funded. They communicated these priorities to the campus via email in December, 2008 and they are published on the OSPR website.
- At year's end, the committee recommended a further change to the priorities by removing "Conference Attendance without Scholarly Presentation" from the list of eligible activities.
- The committee recommended adding a requirement for greater accountability by grant recipients via a required 1-page final report.
- The committee recommended moving from a 3-deadline cycle to a 2 deadline cycle to facilitate the selection of the best projects for funding out of the pool of applicants annually.
- The committee recommended greater transparency by providing application versus award statistics in the OSPR annual report, and placing the report on the OSPR website.
- The committee recommended placing abstracts of funded projects on the OSPR website at year's-end.

### **Adjunct Faculty Professional Development Fund Committee**

- The committee recommended that the College allow the Adjunct Faculty Development funds to roll over from one fiscal year to the next, thus ensuring that the full capacity of the fund (currently \$4,000/year) can be used to support the professional development needs of KSC adjuncts.
- The committee recommended that the KSCAA contract language reflect that Adjunct Professional Development Grant funds can be used for both on- and off-campus professional development activities.

- The Committee acknowledged the Deans of Arts & Humanities, Professional & Graduate Studies and Sciences & Social Sciences for their continued support of adjuncts in their schools by providing funding for requests/needs that were not able to be met through the Adjunct Faculty Professional Development Fund.

### **Undergraduate Grants Committee**

- In the last two years interest in the Undergraduate Research and Creative Grants has grown substantially. Given the current economic situation, the committee recognizes that finding additional funds to support this program will be a challenge, but strongly recommends that additional dollars be allocated to the program in future years.
- The committee recommended that each application require a formal letter of support written by the faculty sponsor, speaking to the nature of the project, the qualifications of the student, and their role in working with the student on the project. The goal of this recommendation is to increase the quality of the proposals by ensuring active faculty involvement in the pre-submission stage.
- The committee recommended placing abstracts of funded projects on the OSPR website at year's-end.

## External Grant Proposal Summary

**FY09 Metrics** (to be tracked annually, with trending displayed once multiple years are available):

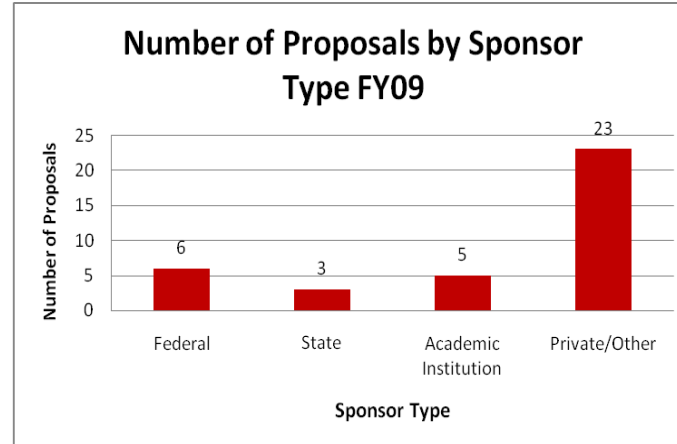
# of Faculty/Staff Submitting at Least 1 Proposal: 29

# Proposals Submitted: 37

Total Dollars Requested: \$4,644,527

F&A Requested: \$807,935

Breakdown by Sponsor Type (Federal, State, Academic Institution, Private/Other):



**What is included:** The above data include the following proposals for the period July 1, 2008-June 30, 2009.

- All new grant proposals submitted through OSPR, including those initiated by the Office of Advancement but routed through OSPR for assistance, institutional approvals, and/or submission. Not included are any grant proposals initiated by the Office of Advancement that were not routed through OSPR, or gift proposals.
- Requests for continued funding on current multi-year awards where the sponsor requires a formal continuation proposal/progress report including a formal budget request for the upcoming year in order for the next increment to be released.

## External Grant Award Summary

**FY09 Metrics** (to be tracked annually, with trending displayed once multiple years are available):

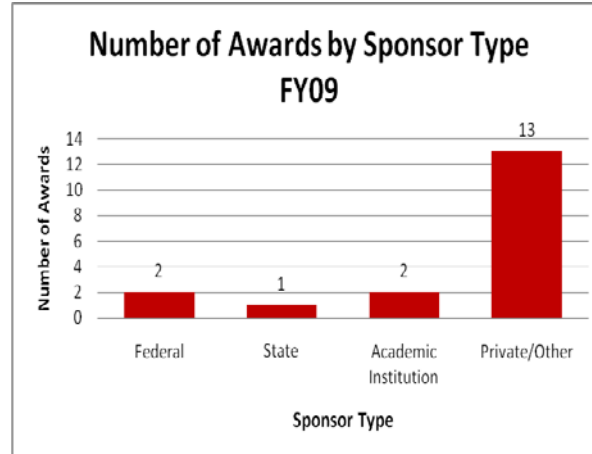
# of Faculty/Staff Receiving at Least 1 Award: 14

# Awards Received: 18

Total Dollars Awarded: \$433,240

F&A Awarded: \$55,765

Breakdown by Sponsor Type (Federal, State, Academic Institution, Private/Other):



**What is included:** The above data include the following awards for the period July 1, 2008-June 30, 2009.

- All new awards for which official Award Notifications were received during the reporting period.
- In the case of multi-year awards, awards/dollars are recorded and reported here as they are received from the sponsor. If a sponsor releases all funding for a multi-year project up front, it is recorded as a single award in the reporting period in which it was received. If a sponsor releases funding for a multi-year award one year at a time, each year is recorded individually in the reporting period in which it is received.

## Outreach Efforts Summary

OSPR offered a variety of training opportunities for KSC faculty and staff in FY09, falling into the following categories:

- Visiting departmental meetings upon request to discuss funding opportunities and the assistance available from OSPR, and participating in new faculty orientation.
- Conducting guest lectures upon request for faculty wishing to provide students with an overview of the external funding process.
- Publicizing regional workshops of interest, such as the NH EPSCoR NSF conferences held in November, 2008 and June, 2009. Several KSC faculty, as well as OSPR representatives, attended these regional training opportunities this past year.
- Brown-bag sessions (sometimes repeated across the year) and “house call” days were offered so as to make the training convenient and inviting. So that OSPR may continually assess the degree to which it is meeting training needs, participants are asked to provide feedback regarding each session via an evaluation sheet so that future sessions may be improved. Basic metrics of attendance were captured below so that future needs can be addressed working with each school to determine the types of training that would be most beneficial.

| OSPR Faculty/Staff Outreach Opportunities FY 09   |  |     |  |  |      |   |  |      |  |  |      |
|---|--|-----|--|--|------|---|--|------|--|--|------|
| Workshops   | Number of Participants & Breakdown by School |     | Workshops  | Number of Participants & Breakdown by School |      | Workshops                                       | Number of Participants & Breakdown by School |      | Workshops                                    | Number of Participants & Breakdown by School |      |
| <b>New Faculty Orientation: Introduction to Grants at KSC: February 3 &amp; 4, 2009</b> | 5  |     | <b>Grant Writing Basics - March 6, 2009</b>                  | 6  |      | <b>Introduction to NSF - RUI March 26, 2009</b> | 4  |      | <b>Grant Writing Basics - April 10, 2009</b> | 1  |      |
| Arts & Humanities   | 3  | 60% | Arts & Humanities  | 3  | 50%  | Arts & Humanities                               | 0  | 0%   | Arts & Humanities                            | 0  | 0%   |
| Prof. & Grad Studies  | 1  | 20% | Prof. & Grad Studies   | 1  | 17%  | Prof. & Grad Studies                            | 0  | 0%   | Prof. & Grad Studies                         | 1  | 100% |
| Sciences & Social Sci.  | 0  | 0%  | Sciences & Social Sci.                                       | 0  | 0%   | Sciences & Social Sci.                          | 4  | 100% | Sciences & Social Sci.                       | 0  | 0%   |
| Mason Library   | 1  | 20% | Mason Library  | 0  | 0%   | Mason Library                                   | 0  | 0%   | Mason Library                                | 0  | 0%   |
| Other   | 0  | 0%  | Other  | 2  | 33%  | Other   | 0  | 0%   | Other  | 0  | 0%   |
| <b>Sabbatical Funding - April 23, 2009</b>  | 4  |     | <b>Grant Writing House Call Days - May 18 &amp; 19, 2009</b> | 3  |      |   |  |      |  |  |      |
| Arts & Humanities   | 1  | 25% | Arts & Humanities  | 0  | 0%   |   |  |      |  |  |      |
| Prof. & Grad Studies  | 0  | 0%  | Prof. & Grad Studies   | 0  | 0%   |   |  |      |  |  |      |
| Sciences & Social Sci.  | 2  | 50% | Sciences & Social Sci.                                       | 3  | 100% |   |  |      |  |  |      |
| Mason Library   | 0  | 0%  | Mason Library  | 0  | 0%   |   |  |      |  |  |      |
| Other   | 1  | 25% | Other  | 0  | 0%   |   |  |      |  |  |      |

## Noteworthy Developments

Record Keeping & Transparency: OSPR has begun the important task of developing appropriate record keeping mechanisms regarding internal and external grant activity. This is essential to an office of this nature. In addition, there is a general desire on campus for greater transparency regarding the work of OSPR. This comprehensive OSPR Annual Report is in part a response to this desire. This report provides detailed data on the use of KSC internal programs by school, as well as faculty external grant activities (proposals and awards). This report, along with future reports, will be posted on the OSPR website to ensure easy access to the campus community.

Proposal Routing and Budgeting: In collaboration with the Business Office, Academic Affairs Council, and the President's cabinet, OSPR implemented an improved process for preparing proposal budgets and routing proposals for internal approvals. The KSC internal budget template provides a consistent method of budgeting and planning for project costs which will be borne by the external sponsor and those to be borne by the College (via mandatory or voluntary cost sharing). The KSC proposal routing form, along with the internal budget template, collects essential information needed by administrators to approve proposals prior to submission, documents required certifications to be made by the Principal Investigator, and alerts OSPR and the Business Office to essential issues to address should an award be forthcoming.

Indirect Cost Incentive Program: In an effort to support the growth of sponsored projects on campus, the Budget and Resource Council, in collaboration with the Academic Affairs Council, recommended that a portion of the Facilities & Administrative Costs (also known as Indirect Costs) recovered by the College through sponsored projects be utilized in incentive programs to encourage and support additional grant work on campus

To that end, the President's cabinet approved the following allocation and use of indirect cost returns (excludes indirect costs generated by Aspire, Upward Bound, Writing Center, & other grants originating in Student Affairs).

- 45% to the General Fund
- 20% to Provost
- 20% to Dean of the school generating the grant
- 15% will be used as "incentives" to further sponsored project activity on campus, and to help the campus community share in the benefits of hosting sponsored projects on campus. The funds will be used in the following ways:
  - Half (7.5%) will be placed in a designated fund administered by OSPR to which faculty may apply in order to enhance the research/creative culture on campus and engage more students in research and creative endeavors. Guidelines for applying/use of funds will be developed by OSPR.

- Half (7.5%) will be returned directly back to the departments of the faculty member generating the grant. The goal is to ensure that departments hosting sponsored projects reap some of the benefits instead of feeling that grants are a drain on their resources. These funds should come with few strings, to be used for a wide range of purposes. When the business office does their annual disbursement, the appropriate formula will be applied and funds will automatically go back to the department.

## Goals for the Upcoming Year

Policy & Procedure Work: Although KSC has a Grants Manual, it is limited in its scope and does not address important policy issues that have become increasingly important to grant administration. Because KSC hopes to grow its sponsored projects activity, a primary goal for the coming year is to make significant progress in cataloguing our policies and procedures surrounding sponsored projects into a revised Grants Policy Manual. A list of policy/procedure issues to be addressed has been created and shared with the Provost. Some of this work is already underway, including: development of policies regarding supplemental pay from sponsored projects and review of certifications and assurances.

IACUC Compliance Committee: secure federal wide assurance from the Office of Laboratory Animal Welfare (OLAW) for our IACUC. The IACUC chair and the Director of OSPR will be seeking additional training in October, 2009 to bring expertise back to campus in order to accomplish this goal.

External Funding: Through the work of this office, we hope to stimulate and support faculty in their efforts to secure external funding for their work. Our long-term goal with regard to external funding is to see an increase from year-to-year in the number of proposals submitted and the total dollars requested, as well as an increase in the F&A costs requested. Key to all of these goals, but especially the goal of increasing the number of grant proposals that include F&A costs, is the goal of increasing the number of federal proposals. Currently, Keene State College faculty members submit few federal grants in support of their work, relying instead on private sources. When we do submit grant proposals seeking federal dollars, they are often as a subcontractor on another academic institution's lead proposal. While these partnerships with colleagues at research intensive institutions are extremely valuable and important, KSC faculty could also be very competitive in their own right for many federal programs, especially at agencies like the National Science Foundation, National Institutes of Health, US Department of Agriculture, etc., many of which have programs geared toward predominantly undergraduate institutions and/or institutions with "EPSCoR" status (or the agency-specific equivalent thereof). Outreach efforts will continue to include an emphasis on federal funding opportunities. In addition, OSPR is developing a "Successful Proposal" file for faculty to consult as they work to develop proposals to specific sponsors. For example, the Director has secured examples of successful NIH R03 (small research grant) proposals from colleagues outside of KSC to share (with permission) with our faculty. All of these efforts will continue in the coming year and over the long-term.

Funding Opportunities Outreach Efforts: In addition to traditional workshops, OSPR will be working to introduce SPIN/SMARTS to the KSC campus. SPIN is a searchable funding opportunity database subscribed to by USNH, but which the KSC campus has not traditionally utilized. SMARTS is a companion to SPIN which allows automated funding opportunity alerts (built around specified interests) to be sent to a faculty member's email address on a regular schedule of their choosing. OSPR is familiarizing itself with SPIN/SMARTS, and will begin introducing it to faculty on an individual basis in the coming year. Information regarding SPIN/SMARTS will eventually be placed on the OSPR website, along with listings of funding opportunities of interest to the various disciplines.

Close-out: In FY09 OSPR began monitoring the close-out process for selected awards/sponsors. Award close-out generally involves both financial reporting and technical reporting. Financial reporting is routinely handled by the Business Office. Technical reporting, however, is the responsibility of the principal investigator (PI). In instances where additional support is needed or a sponsor has unusual requirements, OSPR offers assistance to the PI in making sure all requirements have been met. As PIs become more familiar with sponsor reporting requirements, the need for additional support should decline. We will continue to monitor these needs in the coming year.