University Research Council  
September 20, 2011  
(Approved October 18, 2011)


ABSENT: Susan McCracken, Amy Roberts, Lisa Suggs, Susan Staub, Tracy Goodson-Espy, Kellie Reed-Ashcraft

GUEST: Dr. Lori Gonz

● Dr. Huntley called the meeting to order and introduced Dr. Lori Gonzalez, new Provost and Executive Vice Chancellor.
  o Dr. Gonzalez expressed that ASU’s commitment to moving forward with research was an attribute that caught her eye when deciding to pursue the Provost position here.
  o Dr. Gonzalez will look to the URC to help develop research plans and the role of research as the University’s revisits strategic plan.
  o GA does not view ASU as having research potential and we need to work on crafting our research message and strategy to make them aware of our research capabilities. This will require a lot of strategizing.

● Member introductions.

MINUTES: It was moved (Bill Bauldry) and seconded (Lynn Gregory) that the minutes of the April 19, 2011 meeting be approved. Motion passed. No opposition.

ANNOUNCEMENTS FROM DEAN HUNTLEY

● Refer to the, “New Internal Grants Programs” handout, which details three new internal funding mechanisms that will come to the URC to review:
  o The Big Idea – Designed to inspire faculty to develop proposals that are odd and unusual but have huge potential. Dr. Frantz will search for RFP’s to support.
  o Grant Proposal Development Fellowships Program – Up to 10 awards for applications proposing to request at least $100,000 with full F&A from an external funding source. Award ($1,000 stipend) will not be given until Dr. Frantz receives the external funding proposal.
  o Microgrants Program – In the past, faculty members have expressed that they are embarrassed to ask URC for a small grant. This program supports research that does not require large sums of money to complete. Up to 10 awards of $300 each will be made.

ANNOUNCEMENTS FROM GRANTS RESOURCES & SERVICES - DR. POLLYANNE FRANTZ

● Refer to complete Grants Resources and Services Report attached.
• Several events are coming up in the fall. Look at the events tab to find out more information and keep up to date with new events being added.
• Amy Love worked to revamp the URC proposal submissions site.
  o Faculty members were struggling to submit proposals because of the logistics of the submission process.
  o The new submission process will upload all documents together to be submitted to Jessica Yandow.
  o The proposal page limit is expanded if there is more than one PI.
  o Welcome feedback from colleagues.

ANNOUNCEMENTS FROM SPONSORED PROGRAMS - CHARNA HOUSON

• Refer to complete Sponsored Programs report attached.
• OSP new hours: Closed on Thursdays from 8-12 to process proposals.

ANNOUNCEMENTS FROM RESEARCH PROTECTIONS – JULIE TAUBMAN

• Refer to complete Research protections report attached.
• Dr. Stan Aeschleman is now IRB Chair.
• There is a glitch with our CITI training for IRB and IACUC, and incorrect expired messages are being sent. Ignore these.
• There is an advanced notice of proposed changes for IRB regulations.
  o UNC General Administration has been seeking feedback to formulate a UNC system response.
  o Exempt categories will be expanded
    • The default for exempt research would be the PI determining their research is exempt and notifying the IRB compared to the current regulations that requires the IRB to determine if research is exempt.
    • IRB would need to conduct random audits to follow up on these determinations.
  o Proposed changes adjust risk levels to better fit actual risk.

ANNOUNCEMENTS FROM GRADUATE STUDIES – DR. HOLLY HIRST

• Ignore the total enrollment numbers in the Graduate Studies report as there was an error pulling statistical data.
• Request for (3) volunteers to help review graduate student research grants applications
  o Dr. Huntley worked with former Interim Provost, Dr. Lorin Baumhover, to allocate more indirect money for the research pool.
    • Current pool increased to $10,000.
    • Funds now allowed to be used for travel.
    • Increase in funds resulted in an increase of applications – 27 complete fall applications.

URC FUNDING RUBRIC – DR. LYNN GREGORY
- Drs. Lynne Gregory, Les Bolt, and Eva Gonzales have made recommendations to streamline URC review process. Welcome discussion and feedback.
  - Suggestion to link rubric on website to provide transparency.
- Recommend creating a URC email alias so correspondence is connected to a function rather than a person.
- Are the five criteria on the front page weighted equally?
  - May depend on applicant or discipline.
  - Important to maintain our current structure while providing uniformity.
- The Council needs to decide if we favor proposals with the greatest external funding potential or proposals that are requesting funds for creative research that will not generate external funding?
  - Need to clarify mission to answer this question.
  - Suggestion to create two pots of money: one for external funding potential and one for junior faculty or research that probably will not result in external funding.
- Dr. Lori Gonzalez recommends faculty collaborate with URC, departments and colleges to help develop research opportunities for junior or non-tenure track faculty.
- Bring discussion back to the goal of the University: to broaden research
  - Encourage faculty who typically are not engaged in research to participate or target faculty who have the most potential to generate external funding?
- The Council needs to clearly define its mission.
  - Be aware that mission is paired with resources:
    - Big price tag with big research.
    - Our research plan has to match our business plan.
    - URC funds have decreased in past years yet it is the “only funding in town”.
    - Suggestion to tell ASU's research story to solicit donors. This is another resource we need to work on building.
- Each review panel cannot have different standards for reviewing applications.
- What are we judging while reviewing applications?
  - Council agrees applications should be judged based on what is submitted in the proposal to foster more equity in the process. This should be included in the rubric.
  - The proposed process and rubric head the Council in the right direction.
- The proposed document helps the PI navigate the entire process.
- Discussion returns to the URC’s mission.
  - As a University, is ASU trying to develop junior researches?
  - During the last few funding cycles, the URC has provided feedback to applicants whose proposals were declined.
    - In several instances, the quality of the PI’s proposal improved for the second submission.
    - Need to communicate the entire proposal process.
  - Long term discussion for how these funds are to be used.
  - Merit in remembering where these funds come from and how we can get the pot back to $150,000.
• The appropriate mix for the Council comes down to both mission and University culture.
  o Funding potential.
  o Research that does not generate external funding but draws people to ASU because of robust and exceptional research.
  o Need to value the research product and not just the dollar amount.
• URC policy requires faculty to solicit external funding after two rounds of URC funding.
• Proposals are reviewed by disciplinary panels: STEM, arts and humanities, and social sciences (includes education and business).
• A suggestion that applicants be able to submit images to convey their research.
  o Allow .jpg images to be uploaded into the supplemental section of the application.
• Motion (Bill Bauldry) to post guidelines (first three pages) for PI’s use this semester and review panels to “test drive” the scoring rubric for this fall funding cycle and finalize it for spring 2012. John Pine seconds. None opposed.
• REACH NC update and demonstration will be postponed until the October meeting.
• Motion to adjourn.
Graduate Council & University Research Council / May – August 2011
Report from Dr. Pollyanne Frantz, Director of Grants Resources & Services

Initiatives:

- REACH NC expertise portal implementation in progress.
- PARE (Peer Assisted Review Enterprise) formed. Sixteen faculty and EPA professionals will serve as reviewers for internal competitions – primarily limited submission competitions. An AsULearn site has been created to facilitate the review process.

Events:

- Professional Writing Retreat for Faculty: Grant Proposal Writing workshop (May / 6 participants)
- Universities’ Role in the Economic Development Continuum webinar (June / 3 participants)
- New Faculty Orientation (August / 32 participants)
- New International Faculty Orientation (August / 8 participants)

Research Development Officers (RDOs):

- Budget cuts have resulted in the suspension of the RDO initiative for the current academic year.

Other Activities:

- The Office of Proposal Development has been renamed as Grants Resources & Services
- Amy Love served as guest speaker about Challenge.gov opportunities for Dr. Jay Fenwick’s mobile apps development course
- Pollyanne Frantz attended the “Research Contracting: Piecing Together the Puzzle” workshop in RTP
- Amy Love attended the “UNC Defense Opportunities” workshop in Greensboro and the “NC QUEST Cycle 10” workshop in Chapel Hill
- Amy Love has created an online application form for the URC Competitive Grants program
- Frantz and Love met individually with 24 faculty and graduate students over the summer about extramural funding and proposals in process
- Web site revisions. Based on January 2011 Communications survey responses and Google Analytics, the following modifications have been made to the GRS web site:
  - The limited submissions page has been restructured to clarify the course of action for each program
The entire Funding Opportunities section has been restructured for easier navigation
An online funding search request form now is available.

- Three internal competitions were conducted for external funding opportunities with limited submissions restrictions (NEA Grants for Arts Projects program; Wells Fargo National Environmental Grants program; and NEH Summer Stipends program).

**Upcoming Events:**
For a complete listing of events, see [http://www.orsp.appstate.edu/events/index.html](http://www.orsp.appstate.edu/events/index.html).

- New Faculty and Researcher workshop (September 23)
- Finding Funding workshop (September 29 with repeating dates throughout semester)
- NIH AREA Grant program workshop (October 10)
- Faculty Learning Community: Grant Proposal Writing (6 sessions with 6 participants during fall semester).
Office of Sponsored Programs Report
September 1, 2011

Items of Note

- Year-to-date award information through the end of July is available on the Web at http://www.orsp.appstate.edu/awards. A summary follows:
  - 13 proposals requesting $20,493,287
  - 22 awards totaling $932,353
  - As of 9/1/2011 our unofficial figures are:
    - 40+ submissions in progress/under development (several not yet in AGrants)
    - 9 proposals moving through the electronic routing system
    - 32 submissions requesting $2,932,894
    - 44 awards totaling $2,292,045

- Workshop Activity
  - AGrants training for Administrators (began in June) and for principal investigators/directors (began in August) will run through December
  - Navigating Externally Funded Fellowships was offered for the first time on 9/1/2010

- AGrants/RAMSeS
  - Appalachian was 1 of 3 campuses that presented at a recent UNC General Administration training program
  - Stephen Kimel of was recognized for the quality of his communications when asking for repairs or system changes.
  - Over the summer OSP was unable to fulfill numerous requests to realign projects after submission/funding. PIs should be careful to identify interdisciplinary collaborations before routing for administrative approvals.

- OSP had a one day retreat in August to review departmental vision and mission statements and to plan for the coming year.

- The department is currently engaged in data collection for the incoming provost

- Weekly ORSP meetings scheduled for 8:30 am every Wednesday have been restructured use time more efficiently and to nurture expanded contacts as follows:
  - 1st Wednesday of each month = ORSP meeting (Sponsored Programs, Research Protections, Grants Resources and Services) – all staff
  - 2nd Wednesday of each month = ORSP directors’ meeting
  - 3rd Wednesday of each month = OSP and SFA director’s meeting
  - 4th Wednesday of each month = Full staff of ORSP and Special Funds Accounting
Upcoming Events (See http://www.orsp.appstate.edu/events for dates and locations)

- The Office of Sponsored Programs is collaborating with the Office of Proposal Development to host an NIH workshop for ASU and neighboring institutions on October 10, 2011.
- OSP and Special Funds accounting are collaborating on several programs
  - Sponsored Projects at Appalachian State University
  - Managing Externally Sponsored Project Awards
  - Conversations at Noon (a series of brown bag discussions, not structured presentations)
- Longstanding Programs
  - Understanding Contracts
  - Building Budgets

NEW Business

- New Office Hours for OSP – The Office of Sponsored Programs will be open from 8 am - 5 pm Monday, Tuesday, Wednesday, and Friday. On Thursdays OSP will open from noon to 4 pm, closed to phone and foot traffic during the morning hours to allow staff to review contracts, negotiate awards, and contact sponsors to complete pending activity. The new schedule will take effect on September 15, 2011. The staff thanks you for your support.
- Charlotte Smith is leading a team in the review and revision of the ORSP Web page. Team members include ORSP, SFA, IT, and faculty.
## REPORT TO THE GRADUATE COUNCIL FY 2012

**July 1, 2011 - June 30, 2012**

### SUBMISSIONS

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<th>MOA</th>
<th>Subcontract</th>
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**Current Year 2011 - 2012**

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**Dollar Amount and Percent Compared to Last Year:**

- Up $15,596,520 138%
- Down $9,605,853 -21%
- Down $97,817,969 -74.0%
- Down $12,739,191 -32%

**Number of Submissions and Percent Compared to Last Year:**

- Up 138%
- Down -55%

*Methods for counting other actions is currently under review by the Office of Sponsored Programs. The criteria for how these actions are counted will change but counting and reporting them will resume.*

## AWARDS

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- Down $97,817,969 -74.0%
- Down $12,739,191 -32%
Past Events
- COM 3928 class, Navigating the IRB, Robin Tyndall (13 participants)

Institutional Review Board (IRB)
- Dr. Stan Aeschleman agreed to serve as IRB Chairperson.
- We received over 400 requests for IRB review in the 2010-22 fiscal year. Despite an over 30% increase in requests, average study turnaround time remains within 14 days.

- The IRB requires online CITI training in conducting human subject research. CITI erroneously sent notices of training expiration to Appalachian users. Please disregard these notices; training does not expire.
- The U.S. Department of Health and Human Services published an Advanced Notice of Proposed Rulemaking for revisions to the Common Rule which includes sweeping changes to the regulations governing research with human subjects.
Institutional Animal Care and Use Committee (IACUC)
- The IACUC is drafting a formal university policy. IACUC requests for review hold steady from previous years with approximately 15 requests.

Radiation Safety
- No report

Institutional Biosafety Council (IBC)
- The Chancellor approved a new university policy on recombinant DNA which requires that all activities with recombinant DNA undergo IBC review.
- Dr. Ece Karatan, a faculty member in Biology, received NIH funding to support research involving recombinant DNA. With this award, NIH requires that all research involving recombinant DNA conducted at Appalachian undergo IBC review.

Export Control Compliance
- No report

Intellectual Property
- Members of the Intellectual Property Advisory Council were appointed by the Provost and the Chief Research Officer. Monthly meetings have been scheduled to review disclosures of intellectual property. Membership and the meeting schedule are available on the webpage.

Upcoming Events
- Robin Tyndall will facilitate a Hubbard Center Workshop, “Navigating the IRB”, on September 22, at 3:30.
- Julie Taubman, Oscar Knight, and Amy Love will facilitate a Hubbard Center Workshop on data protections on November 6.
Graduate Studies Report
For September 2011 URC
Holly Hirst

(1) Graduate student research funding.
The Provost has granted us permission to increase the allocation from the F&A indirect grant and contract receipts for graduate student funding to $10,000. Grants are available for research costs and for travel to disseminate research results. I will be asking URC members to help screen applications. The deadline for Fall was September 15.

(2) Graduate enrollment for Fall 2011.
Enrollment data were pulled on Friday, September 9, 2011 (just after the official snapshot). The factbook on the graduate school website will be updated with specifics later this fall. Preliminary Data:

TOTAL ENROLLMENT: On / Off: 1068 / 805 = 1873 unduplicated headcount.
Comparison: Fall 2010: 1093/ 959 = 2052; this year we are down 2% on / 16% off / 8.7% overall.

(3) Degreeworks update.
We have entered all graduate certificate and degree programs as listed in the 2009-10, 2010-11, and 2011-12 Bulletins. After the September 19-21 training for our office staff, we will be working with individual programs to review how the software functions and refine “pre-approved” elective lists.

(4) Internship process update.
Now that the new internship form is in place, we are asking all programs to use it and report on ways the form can be improved to function better at the graduate level. There will be a more detailed discussion of this at a later Council meeting this fall. Please continue to send feedback and questions to Holly Hirst so that she can advocate on behalf of graduate programs.

(5) Recent federal regulation changes.
A. Gainful Employment: The feds have clarified their definition of gainful employment (required for a program to be eligible for federal aid for students). As before, degree programs are considered gainful employment without additional justification. Any program that results in state licensure for direct classroom instruction (we have some licensure only non-degree programs) is also considered gainful employment. That leaves graduate certificate programs to be justified as providing an avenue toward gainful employment.

B. State Authorization: The feds have requested that universities comply with existing state laws regarding operating an educational institution in states other than the home state. The “stick” is that they will remove our students’ ability to receive financial aid if we do not comply. We are on notice as of July 2011, we need to show good faith efforts immediately, and we must comply by 2013.

The major problem with this: Every state has different definitions of what it means to “operate” and different processes for “registering” (and in many cases paying a fee!). Some components that might be in the definition of operating:

• physical building in the state and teaching classes there
• online students living in the state
• internship, practicum, or field experience placements in the state
• recruiting in the state outside of fairs sponsored by an organization in the state