University Research Council  
September 18, 2012  
(Approved October 16, 2012)

PRESENT: Edelma Huntley, Holly Hirst, Pollyanne Frantz, Joseph Cazier, Denise Martz, David Dickinson, Les Bolt, Ray Miller, Christine Leist, Karla Rusch, John Pine, Ged Moody, Lisa Suggs, Alan Utter, Randy Gonzalez, Kim Hall, Susan Staub, Jeff Ramsdell, Betsy Williams, Cynthia Liutkus, Scott Collier, Bill Bauldry

EXCUSED: Charna Howson, Susan McCracken, Amy Roberts, Julie Taubman, Tracy Goodson-Espy, Kellie Reed-Ashcraft

ABSENT: Eva Gonzales, Anne Fanatico

GUEST: Doug Wilson, Renewable Energy Initiative (REI) Representative

• Dr. Huntley calls the meeting to order at 4:02
  o Member introductions
  o Dr. Huntley welcomes new URC members: Kim Hall, Betsy Williams, Randy Gonzalez, Jeff Ramsdell, and Cynthia Liutkus

• It is moved and seconded that the minutes from the April 17, 2012 meeting be approved. Motion unanimously passes

NEW BUSINESS – RESEARCH MEMO

• Edelma Huntley provides context for the prompted discussion of research at ASU
  o The Board of Governors (BOG) is becoming increasingly involved with daily management of the 17 UNC institutions
  o President Ross and the B O G are working on 2013-2018 strategic plan
    ▪ Chancellor Peacock will represent ASU on the UNC Advisory Committee on Strategic Directions
  o The five goals outlined in the strategic plan vary from UNC Tomorrow goals
    1. Set Degree Attainment Goals Responsive to State Needs – most drastic change from UNC Tomorrow goals. Emphasis on the number of students (including graduate students) who are graduating in a timely manner
    2. Strengthen Academic Quality
    3. Serve the People of North Carolina
    4. Maximize Efficiencies - continue program review to eliminate unnecessary duplication and low-productivity programs
    5. Ensure an Accessible and Financially Stable University - rising concern about student debt. Subsidized loans are no longer available to graduate students and the interest rate on unsubsidized loans is approximately 6%

• Important to make the distinction between research and funded research
  o Not all research is funded and not all funding supports research
    ▪ 35% of extramural funding supports research while the other 65% is used for construction, community development, etc.

• Before defining enhanced research, we must first define research
Edelma Huntley asks members to email their definition of *research* to Jessica prior to the October meeting so responses can be posted on AsULearn for discussion

- **Discussion of research and how it fits into higher education and President Ross's five goals**
  
  - One Council member describes research as an important component of higher education scholarship
    - Fear that academia is moving towards a more utilitarian and quantitative definition
  
  - Responsibility to instill knowledge in students and society as a whole
    - Knowledge and reflection skills enhance democracy and we have an obligation to be at the forefront of this knowledge
  
  - Political influences have caused institutions to become more corporate. There seems to be a management side (administration) vs. a creative side (faculty)
    - Ideas and concepts discussed in the higher education arena tend to be on the edge or outside the comfort zone of those in power
  
  - Engaging in research encourages active learners rather than passive learners
    - Benefit to society
    - Literacy vs. intellectual inquiry – ability to link terminology and language to the world around us
  
  - Research creativity and innovation should play a larger role in resource allocation rather than the other way around
    - Requires institutional support
  
  - Notable changes in funding sources for research
    - Increased funding from nontraditional sources (foundation, corporate, etc.) and less traditional funding (federal)
    - As we engage in research with nontraditional sponsors, it's important to establish ownership and dissemination rights up front
      - Very little guidance offered to Ph. D. students and faculty about these types of negotiations and the types of questions that should be asked
  
  - In the context of serving North Carolina residents, research facilitates ethical clinical practice
    - Important to explicitly describe the connection between research and serving the public throughout the entire life of a project
  
  - Concerned that eliminating program duplication as a strategy to meet President Ross's fourth goal will create niche institutions
    - Fear that only certain institutions will be able cater to a specific type of research
      - Would benefit institutions with regional significance
  
  - Responsibility to create new knowledge and disseminating it to:
    - Students
    - Academic discipline
    - People of North Carolina
  
  - Important to demonstrate that ASU can disseminate a wide variety of knowledge
  
  - ASU has a motivated and involved alumni base that could influence the political arena
  
  - A fundamental question raised in the memo is, “What do we actually want to be?”
    - Conversations at the departmental level to determine where the department wants to fit into this equation
  
  - Need the ability to translate what ASU does to what is valued by the UNC administration

- **Discussion will continue at the October URC meeting**
OLD BUSINESS – COLLABORATION WITH REI

- Ged Moody introduces Doug Wilson as a graduate student in the Department of Technology and Environmental design who will discuss the possible collaboration between the URC and REI.

- REI’s mission is to reduce the environmental impact of ASU by replacing the University’s existing sources of energy with cleaner forms of renewable energy technology on campus and serve as a resource for students and faculty by identifying and investing in the most appropriate energy projects.
  - Similarities between URC and REI missions and goals

- REI proposing to provide $5,000 (per semester) in funding for faculty whose research focus is on renewable energy and will have an impact on ASU.
  - URC would determine how the $5,000 should be allocated in terms of number of awards.

- Requesting a REI student representative be on the URC.
  - EFI representative would be able to advise and answer any questions related to the renewable energy aspects of the proposal.

- Because the fall URC deadline is fast approaching and already publicized, Edelma Huntley suggests running a separate competition for this fall with a deadline in late October.

- Call for proposals and guidelines should clearly state that potential applicants are allowed to apply for both URC funding and URC/REI funding.

- The Council agrees that if collaboration is approved, deadlines should be the same starting in spring 2013.

- Edelma Huntley agrees to contribute $5,000 per semester to establish a continuing relationship between the URC and REI.

- It is moved and seconded to accept this proposal with the understanding that logistics are to be determined. Motion unanimously passes.

ANNOUNCEMENTS

- Received 19 proposals for the Cratis D. Williams Graduate Research Grant.
  - Holly Hirst will contact URC members to help review applications.

- Updated URC guidelines and application are posted on the website.

- Pollyanne Frantz asks Council members to inform colleagues that the fall URC competition is open.
  - Difficulties with the new mail system has delayed the campus-wide call for proposals and deadline announcement.

ADJOURNMENT
April 6, 2012

MEMORANDUM

TO: Chairs & Deans

FR: Lori Gonzalez, Provost

RE: Research at Appalachian State University

Appalachian State University achieves its mission in the area of research by “...maintaining a faculty whose members serve as excellent teachers and scholarly mentors for their students and who produce high levels of scholarship and creative activities”. The Strategic Plan, Reach Greater Heights, places emphasis on research through Priority 2: “Provide resources to enable all faculty members to perform quality research and creative activities, and enhanced resources in successive, focus areas of strength to enable Appalachian to make sustained major contributions in those fields.” The Plan also includes the statement that: “To become a nationally recognized university and engage the best students, Appalachian must significantly advance its overall research profile and achieve prominence in selective areas”. Finally, Priority 4 charges us with applying our research resources to promote sustainable economic growth, prosperity and quality of life throughout this region and state. Our Quality Enhancement Plan charges us to attend to global issues through research, education, service and outreach.

The word “research” is broadly defined at all universities. It includes basic science, applied and clinical research, and creative and scholarly activity. At Appalachian, all forms are valued and we have strengths in each area and also value the scholarship of teaching and engagement. For the purpose of this memorandum, the term “research” is meant to capture this wide array of scholarly pursuits. We have a range of academic programs and will have a range of funded research, scholarly activity and creative activity. There is room for all faculty members under the umbrella of research. We must stay ever mindful of the critical linkage between teaching and research and continue to build on our outstanding undergraduate research program.

Our strengths include an atmosphere of collaboration within and across departments and colleges. We can capitalize on this spirit by continuing to identify and establish viable research clusters and collaborative research teams. Interdisciplinary or multidisciplinary research is emphasized by federal funding agencies and represents a true strength of Appalachian. We can improve our funded research portfolio through investment in this type of research. It is critical that all faculty members engage in scholarly activity, but we must also secure federal grants that bring full facilities and administration costs (F&A) or indirect costs. These indirect costs provide the funding necessary to build the appropriate infrastructure to support all research and creative/scholarly activities on campus. Currently, this is the missing element in our research. While we can charge funding agencies an F&A rate of approximately 31%, our actual F&A return is only about 6%. This limits the amount of funding available to support all research activities and requires us to invest wisely to achieve the greatest gains.

We want to facilitate productivity and reward excellence by establishing policies and practices that incentivize departments to move their research agendas forward. As departments consider their own research direction, they can identify the research-active, research-ready and research-interested faculty and invest in growing the departmental research portfolio. It will be the responsibility of the
administration to match expectations to resources (e.g., more time and money given to faculty member to support research, the greater the expectation for success in funded research) and to develop the needed infrastructure for research: financial and budget support, project development, preparation and management, mentoring and policies.

As we move forward to develop the new strategic plan, this campus-wide conversation about what “enhanced research” will mean for the campus is an important first step. To begin this process, the departments should spend time discussing research in the context of the departmental disciplines. (A set of questions is provided to guide these discussions.) Some departments will identify a single area of focus; others may have diverse research interests among the departmental faculty. Both are important for the campus and provide the rich intellectual environment we all value.

When these conversations are completed a similar process should occur at the college level and finally we should bring together potential collaborators to discuss the future of research at Appalachian. The timeline for these discussions are as follows:

- Departmental Conversations completed by end of fall 2012 semester.
- College Conversations completed by February 2013.
- Summary document prepared by the Provost’s Office and the Office of Research by April 2013.
- Campus-wide Conversations completed by April 2013.

This is an exciting time for the campus and we have the faculty talent to propel us forward in the areas of research and creative/scholarly activity. We can set our sights on research that makes a difference in people’s lives now. We can focus on linking research to wider societal needs, to industry-related questions, and to areas that impact the lives of the citizens of North Carolina and the state’s natural resources. We can begin to align our research priorities and goals with the external environment. I look forward to hearing from the departments and colleges to determine where we will go in the next five to ten years.
Departmental/College Discussions
Of
Research, Scholarly Activity, Creative Activity

These discussions should be guided by the following questions:

Overarching Questions:
- How will we define enhanced research?
- What strategies are needed to grow our portfolio?
- What investments would be needed to achieve the greatest gains in the area of research?
- How do we allocate and reallocate resources wisely to facilitate productivity and reward excellence?
- How do we incentivize departments to work for the good of the departmental research agenda?
- What is the strategic plan for research over the next five years?
- Where does the research agenda of the department fit in terms of the Strategic Plan and the overall mission of Appalachian?

For those departments that have access to external grant funding, the following questions should be discussed:
- What funding opportunities are available to faculty?
- How can the department build on past successes in securing grant funding?
- What resources would be needed to enhance external grant funding in the department?
Initiatives:

- GRS Assistant Director Amy Love served as a member of the ORSP website design committee; the new site launched on August 17
- Grants Resources & Services has created an AsULearn site to provide the campus community with access to subscription-based materials and other resources requiring restricted access
- The Grantwriters Education Series, a hands-on interactive series of seven workshops designed to take participants through the proposal development process, will begin on September 28.

Events (date/number of participants):

- “U.S. Department of Education International and Foreign Language Education webinar” (March / 1)
- “National Endowment for the Humanities Regional Workshop” (April / 36)
- “Research Café featuring Dr. Chris Osmond: Compassion Comes to the Table” (April / 14)
- “First Fridays featuring Dr. Heather Clark: Medical Speech Pathology” (April / 14)
- “National Science Foundation’s International Research Experiences for Students Program – Information Sessions” (May / 10)
- “Proposal Consultations with Dr. Thomas Blackburn” (May / 11)
- “Grants Resource Center Webinar: The University’s Role in Regional Transformation” (May / 5)
- “OHRP Webinar: When the Regs Come a’Knockin’: Nuts and Bolts of 45 CFR Part 46” (June / 2)
- “NIH Webinar: Financial Conflict of Interest” (August / 6)
- New faculty orientation and new international faculty orientation (August).

Other Activities:

- Faculty consultations/meetings:
  - Frantz: 11
Love: 8

- **Student consultations/meetings:**
  - Love: 1

- **Limited submission competitions conducted:**
  - Wells Fargo Clean Technology and Innovation Grant program
  - National Endowment for the Humanities Summer Stipends program

- Love wrote a pre-proposal for the Elsevier Foundation’s New Scholars Grant program and was a co-author with Huntley and Frantz of the invited full proposal.

- Frantz is serving as a mentor in the National Organization of Research Development Professionals Mentoring Program

- Love was a guest lecturer on “Grant Basics” for a Sustainable Development capstone course (April)

- Frantz and Love attended the UNC-Sponsored Programs and Research Council spring meeting via teleconference (April)

- Frantz and Love attended the CIO candidates’ campus sessions (May-June)

- Frantz participated in the Humanities Council retreat (August).

**Upcoming Events:**

*For a complete listing of events, see [http://orsp.appstate.edu/events/orsp]*

- First Fridays: Appalachian Culture and Heritage (Sept. 7, Oct. 5, Nov. 2)
- How to Write Successful Proposals for NSF CAREER, DoD Young Investigator and Other Grants for Early Career Researchers (Sept. 14)
- Funding Your Life Science Research: Developing Proposals for North Carolina Biotechnology Center Research Grants (Sept. 21)
Items of Note

- Year-to-date submission and award information through the end of August is available on the Web at http://www.orsp.appstate.edu/awards. A summary follows:
  - 26 proposals have been submitted requesting $5,287,569 compared to 32 requests for $26,919,603 for the same period in FY12.
    - Proposal submissions are down in number by 19%.
    - Dollars requested are down 80%. Much of this decrease can be explained by one $17 million dollar submission in July of FY 11 for a federal grant competition that was not open for submissions this year. The remaining amount (about $5 million is spread across the other five fewer submissions for the year).
    - The 4.5 FTE in Sponsored Programs are currently working with 15 proposals currently moving through the approval process in the AGrants system and another 7 that have been initiated in AGrants but have not yet been submitted for routing. Other contacts have been made for projects that have not been initiated in AGrants at this time.
  - For FY13, 40 awards totaling $2,217,253 reflect a 9% decrease in the number awards, and a 3.3% decrease in dollar value over the same period report for FY12.
    - Eleven awards are currently in negotiation or pending receipt of award documents for a total of approximately $748,886 for year one.
- The Office of Research and Sponsored Programs launched new Web pages with the opening session of FY2013. We are grateful to faculty and staff members who participated in the review and revisioning process that produced the current site. Several new pages providing additional resources are currently being developed and will be released throughout the year. Comments and suggestions for further improvement should be sent to Ms. Charlotte Smith in the Office of Sponsored Programs (smithce1@appstate.edu).
- Workshops and training programs
  - Charna Howson is working with Dr. Janice Pope in the Hubbard Center to provide a brief session for department chairs to learn about their roles and responsibilities in the grant process. This one hour session will be offered twice through the Hubbard Center.
Other Sponsored Programs Workshop Offerings for faculty and staff may be found at [http://orsp.appstate.edu/events/orsp](http://orsp.appstate.edu/events/orsp) or by clicking on the even (calendar) icon at the bottom of any ORSP Web page. Three programs are offered in September.

Charna Howson and Amy Roberts are collaborating with Human Resources to develop a grant and contract focused training program for departmental staff across campus. Participants who complete the program will receive a certificate signed by both Sponsored Programs and Human Resources in some kind of formal recognition program.

Beginning with FY13, Sponsored Programs and Special Funds Accounting staff will engage in joint in-service training every month that contains a 5th Wednesday. Dr. Lynn Gregory presented a session of communication skills during the first program in August.

Sponsored Programs staff will be away from campus for a staff retreat on September 11, 2012. They will participate in a joint full day retreat with the staff from Special Funds Accounting on October 31, 2012.

- **ARRA (American Reinvestment and Recovery Act)** reports continue to be submitted by Sponsored Programs staff on a quarterly basis as these project continue through close out. The next reports will be due October 1.

- **FFATA (Federal Funding Accountability and Transparency Act)** reporting, which must be completed monthly for all projects with subawards in excess of $25,000, has become a permanent additional responsibility for Sponsored Programs staff. These reports must be reviewed and completed on a monthly.

- **Society for Research Administrators, International**
  
  Charna Howson continues to serve the North Carolina Chapter in the role of Past President and serves on the planning committee for the FY2013 annual meeting to be held in Greensboro, NC.

  Charna Howson attended quarterly meetings of the SRA – International Board of Directors as the ad hoc representative for all chapter presidents.

- **Other Activity:**
  
  Sponsored Programs, Special Funds Accounting, and Research Protections staff will serve as give presentations at the fall RAMSeS (AGrants) user meeting in Chapel Hill on September 18th.

  Sponsored Programs staff have collaborated with General Counsel, the Chief Research Officer, and Research Protections do develop university policies in compliance with an August 24, 2012 implementation mandate for all US Department of Health and Human Services proposals. Work continues on the development of procedures, to include conflict management plans.
Sponsored Programs, Special Funds Accounting and select faculty are participating in fall trials of the new NSF award reporting and financial accounting modules of Research.gov, the next generation of NSF Fastlane services. All reporting and financial functions for NSF funded awards will move to the new system on January 1, 2013.
Research Protections Report  
Graduate Council and University Research Council  
September 2012

Upcoming Presentations/Events

- September 12 3:00-4:30, Hubbard Center workshop facilitated by Julie Taubman, Oscar Knight and Amy Love, *Research Data Management and Security*
- September 20 2:00-3:30, Hubbard Center workshop facilitated by Robin Tyndall, *Navigating the IRB*
- September 26, Guest lecture for Dr. Sarah Carmichael's class, Julie Taubman, *Responsible Conduct of Research*

Items of Note

- New webpage: researchprotections.appstate.edu
- Standard operating procedures (SOPs) for the review of human subject research (IRB) and animal care and use (IACUC) have been approved. IRB SOPs are posted on the RP website.
  - The IRB application was revised to reduce the number of questions and eliminate problem areas.
- RP worked with Conflict of Interest Council Chair Dr. Lucinda McCray, General Counsel, and Sponsored Programs to revise Appalachian's Conflict of Interest policy and disclosure forms to address new requirements in the Public Health Service rule, *Responsibility of Applicants for Promoting Objectivity in Research*. 