

MEMORANDUM

TO: James P. Tressel
President

FROM: Neal P. McNally *Neal*
Vice President for Finance

DATE: January 24, 2018

SUBJECT: Budget Advisory Council recommendation

At its January 22nd meeting, the Budget Advisory Council recommended that \$217,000 in Strategic Investment funds be allocated to the YSU Research Office for the following reasons:

1. Of the approximately \$1 million in strategic investment funds available, \$217,000 is directly attributable to indirect cost recoveries associated with research activity during the prior fiscal year.
2. As a matter of routine, the Research Office relies on these funds to cover critical operations, as well as to provide funding for faculty-led research challenge grants.

Because some of the key activities supported by these dollars are time-sensitive, this recommendation is being sent to you for consideration now.

The Budget Advisory Council further recommended that the university's year-end accounting process be adjusted so that, going forward, leftover dollars from indirect cost recoveries are segregated and automatically allocated to the Research Office.

Please indicate your approval of these recommendations by signing below:

James P. Tressel 1-24-18
James P. Tressel, President Date





Template for Strategic Investment Funding Proposals, FY 2018

Proposals must be submitted to the YSU Budget Office, no later than February 1, 2018

Section I: Proposal name and contact information

Title / name of proposal:	Research Incentive Transfer
Contact person name and title:	Michael A. Hripko
E-mail address:	mahripko@ysu.edu
Phone number:	(330) 941-3092

Section II: Approvals of the appropriate College Dean and/or Division Officer

To certify that the proposal is aligned with the strategic objectives of the department, college or division, signature approvals are required by the appropriate Department Chair or Director, College Dean, and/or area division officer, i.e., Provost, Vice President, Associate VP.	
Signature of Dept. Chair or Director	
Name (printed/typed):	Michael A. Hripko
Title:	Associate Vice President for research
Date:	12/27/2017
Signature of Dean (if applicable):	
Name (printed/typed):	
Title:	
Date:	
Signature of Division Officer:	
Name (printed/typed):	Dr. Martin Abraham
Title:	Provost and Vice President for Academic Affairs
Date:	 1-5-18



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Section II: Description of the proposal and its alignment with the YSU 2020 Strategic Plan

Please summarize the proposal and specify how it aligns with the YSU 2020 Strategic Plan.

The 2020 YSU Strategic Plan cites Research as one of four cornerstone strategies for the success and sustainability of the University. The Office of Research requests that 2017 Research Incentive Funds be transferred to the Office of Research, consistent with long standing university practice to use these funds to supplement the cost of critical Office of Research functions. Given imminent spending decisions (URC, etc.) we request an expedited BAC review and ask that a positive BAC recommendation be ongoing, as the rationale will not change annually. These funds support initiatives critical to a growing research enterprise, including faculty URC grants (\$50,000-\$100,000); supplemental funding for Graduate Research Assistants (\$80,000); electronic Research Administration (eRA) software supporting compliant and expedited grant management (\$30,000); faculty grant writing workshops, including all workbook materials (\$3,000); monthly veterinarian inspection of animal facilities (\$7,500); secondary contract for IRB Chair (\$3,050); access to Export Controls data base to ensure all contracts are legal and compliant (\$4,000); leasing iThenticate software to help detect plagiarism (\$3,000); membership in national research organizations and attendance at conferences to ensure ongoing professional development (\$5,000); adding an undergraduate research coordinator (estimated \$10,000 secondary contract); plus.25 additional resource for the Office of Research, currently staffed at 2.75 headcount.

Section III: Shared governance and stakeholder engagement

Was the proposal developed collaboratively and with input from all stakeholders? Please describe the process used to develop your proposal.

This proposal was developed by the Office of Research staff.

This proposal was subsequently reviewed by both by members of the University Research Council Committee and members of the Research Subcommittee of Academic Senate. Members from both committees contributed to the proposal, and the proposal received strong and specific written support from these committee members.

Dr. Rebecca Badawy
Dr. Mona Bahl
Dr. Laura Beadling
Dr. Chet Cooper
Dr. Amy Crawford
Dr. Doug Genna
Dr. Ken Learman
Dr. Sara Michailyszyn
Dr. Kenneth Miller
Dr. Rachael Pohle-Krause
Mr. Robert Wardle III



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Section IV: Return on Investment

If applicable, describe how the proposal may generate new revenue to support related expenses or other strategic initiatives. If there are benefits other than revenue-generation, whether tangible or otherwise, you may also describe those.

YSU's research activity has essentially doubled since FY2015, and is forecasted to exceed \$10 million in FY2018. Sponsored research provides funds for faculty and staff salaries, including the cost of fringe benefits, as well as indirect costs. In addition, sponsored research funds graduate student stipends, capital assets (buildings, instruments, computers, and equipment), materials, faculty and student travel, and office supplies. The more skilled, successful, and efficient the Office of Research performs, the more academic and scholarly activity that occurs, and the more funding that the University stands to gain. A strong, successful, and growing research enterprise produces more faculty expertise in their academic discipline, helps to attract and retain talented faculty, and adds to the academic prestige of the institution. Though difficult to quantify, it is clear that funding the research enterprise will produce successful scholarly-teachers and increase the enrollment of high-quality students, as well as provide support to sustain a strong scholarly agenda. Alternatively, an underfunded research enterprise risks non-compliance to Federal Grant management standards, with possible catastrophic consequences.

Section V: Proposed funding amount requested (NOTE: Available strategic investment funds are one-time dollars left over from the prior fiscal year. Consequently, proposals requiring multi-year funding will require additional consideration.)

Single year funding request:	\$ 217,000.00		
Multi-year funding request (if applicable):	\$	No. of years:	Ongoing

Section VI: Space utilization and/or modification

If applicable, describe any special and/or additional building or space requirements that would be needed to pursue your proposal.

No additional floor space is required. Funding will be used to provide ongoing research services to students, faculty and staff.



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Section VII: Personnel costs / additions

If applicable, explain any additional costs associated with the need to add staffing and/or faculty resources required to pursue your proposal.

The Office of Research is currently managing nearly \$10 million of sponsored activity with an authorized staff of 2.75 people. (Current staff is 1.75 due to a recent attrition.) This funding will be used to provide for .25 of a Grant Coordinator to ensure the office of Research provides full expert grants management coverage every day. YSU research office staffing ratio is far below other Ohio research universities.

In order to provide for services demanded by our emerging research enterprise without adding headcount, our strategy is to implement technology solutions that will streamline grant administration and help ensure compliance (eRA software), which require annual software lease costs. In addition, we selectively hire trainers and consultants as needed, to help address such critical needs as 2 CFR audit compliance, export controls compliance (critical for defense related research), and technology transfer (in support of our increasing number of intellectual property filings). As noted, these funds also pay for IRB Chair secondary contract, veterinarian monthly inspections, research organization memberships, faculty training, and annual URC grants.

These activities could be reduced or potentially eliminated without research incentive transfer funding.

Section VIII: Enterprise risk management

If applicable, describe the risk mitigated by your proposal, or the risk elevated if your proposal is not funded.

YSU's mission statement and cornerstone strategy to transition toward an Urban Research University has been supported through ongoing allocation of Research Incentive Transfer funds to the Office of Research. Failure to continue this commitment would indicate that the indicated cornerstone is no longer an important element of the strategic plan.

A strong, successful, and growing research enterprise produces high-quality scholar-teachers that encourage an educational system that cultivates a taste for achieving an intellectual rigor necessary to attract and retain faculty, increase student enrollment, and add continued prestige to the university. YSU undergraduate research is a high-impact learning strategy that is recognized to promote student learning and engagement, and is a critical pillar of our now substantial Honors College.

Conversely, an understaffed, underfunded, and at-risk research enterprise results in a lack of scholarly productivity within faculty/students, and more importantly, is subject to potential non-compliance audit findings against Federal Grant management regulations, which would have catastrophic consequences. A non-compliance federal audit finding could result in fines, suspensions, debarment from Federal grant awards, and even imprisonment. This very real risk is, in part, offset by proper staffing, proper deployment of research administration software, and appropriate expenditure of Research Incentive Funds so as to implement systems which ensure full compliance with all federal and state requirements.

YSU has significantly enhanced its regional and national research reputation over the past ten years. Failure to fund this proposal would negatively impact that positive momentum.