

VPR DRIF INVESTMENT PROGRAM

Effective February 2012

The Division of Research has policymaking and oversight responsibilities for the research mission of the University. The Vice President for Research (VPR) leads, facilitates, and supports current research initiatives across the campus, advocates for research needs and resources, advocates for and supports technology transfer, enables development of new research areas and interdisciplinary efforts, and fosters programs that encourage economic development. Key to the VPR's role is the strategic use of the Designated Research Initiative Fund ("DRIF") to consolidate and elevate the University's stature as a scholarly institution and to strengthen and enlarge the University's research activity, visibility and impact.

Since early 2009 the faculty incentive program has been supporting the research and scholarly activity of our faculty. The guidelines for these programs are as follows. The funding parameters described below are subject to availability of funds.

TIER 1: Seed Grant/Proof of Concept Program

Program provides funds to support and encourage individual faculty members and multidisciplinary teams of faculty to secure proof of concept, with a goal of pursuing sponsored research or to support scholarship leading to a significant publication or monograph. Funds are also available as seed grants for faculty to develop new research directions. Strategy for securing external funding must be outlined. Total support of up to \$50,000 comes from Departments/Colleges and VPR. Previously, this program had a rolling deadline. **The deadlines for Tier 1 applications are June 1 and December 1.**

TIER 2: Federally Designated Centers and Major Programs Initiative

The VPR, SVPAAP, and Dean(s) will provide incentive support to faculty who are actively pursuing large, multi-disciplinary Federal funding opportunities. Funding consists of proposal development support to facilitate highly competitive proposals, up to \$75,000; and/or post-award annual operating support up to 10% of the budgeted IDC, or post-award cost sharing support. Support comes from VPR, SVPAAP, and Department(s)/College(s).

TIER 3: Campus-wide Research Initiatives Program (CRI)

Program provides support for development of broad, multidisciplinary research initiatives and centers that will position the university to become a national leader in an emerging or sustained area of research that responds to a national or societal need. Planning grants of up to \$150,000 and post-CRI designation support of up to \$150,000 comes from the VPR, SVPAAP, and Department(s)/College(s).

TIER 1: Seed Grant/Proof of Concept Programs

Purpose:

(A) Proof of Concept seed grants are to support and encourage an individual faculty member or multidisciplinary teams of faculty with a goal of pursuing sponsored research or to support faculty establishing new research directions.

(B) Seed grants to support scholarship in fields where external funding is scarce, leading to a seminal publication or monograph.

(A) Proof of Concept Seed Grants:

Eligibility Criteria

- Tenured/tenure track faculty and research scientists.
- Intellectual merit of the project.
- Identification of external funding targets.
- Significant potential to lead to external funding.

Support Provided

- Up to \$50,000 Award
 - Funded by VPR and Department(s)/College(s) as a 50/50 split.
 - Funds to be used for:
 - Collection of pilot data required for proposal submission.
 - Coordination of new multidisciplinary activities that will lead to development of a proposal for external funding.
 - Development of proposal to establish new research directions.

Expectations of Seed Grant Awardees & Post Award Requirements

- Proposal submitted to external agency within two years of award.
- Annual progress report.
- If proposal not submitted, faculty member's department may not be eligible for a seed grant for one year.

(B) Seed Grants for Major Scholarly Activity:

Eligibility Criteria for

- Tenured/tenure track faculty.
- Intellectual merit of the project.
- Identification of journal/publisher.
- Potential to lead to seminal publication in the field.
- External funding not available.

Support Provided

- Up to \$30,000 Award
 - Funded by VPR and Department(s)/College(s) as a 50/50 split.

- Funds to be used for:
 - Development of scholarship leading to seminal publication or monograph (e.g. travel, materials, equipment, copyright, student support)
 - Not intended for teaching buyouts for faculty members.

Expectations of Scholarship Seed Grant Awardees & Post Award Requirements

- Publication submitted or book contract secured within two years of award.
- Annual progress report.
- If publication not submitted or book contract not received, faculty member's department will not be eligible for a seed grant for one year.

Process for All Seed Grant Requests:

- Request to VPR filed through department and college with signatures of chair and dean supporting the intellectual merit of the project.
- One to two page project description including importance of project within context of department priorities and intellectual merit and strategy for securing external funding or planned publications or publishers to target.
- Proposed budget.
- All awards subject to availability of funds.

TIER 2: Federally-Designated Center or Large Program Effort

Purpose:

To encourage development of large, externally-funded research programs, usually multidisciplinary, and usually involving more than one department. This support is provided to assist faculty in responding to multi-year funding opportunities with a value of at least \$2M per year, or for a highly visible, prestigious large program effort, (which may amount to less than \$2M per year) that will contribute to the university's overall impact and reputation.

Eligibility Criteria

- Tenured/tenure track faculty and research scientists.
- Research area reflects University priorities.
- Usually a multidisciplinary research program (at least two disciplines).
- Significant advocacy from department(s)/college(s).
- Demonstrated long-term financial sustainability.
- Individual award \geq \$2M/yr, with significant portion (at least 50%) of funds remaining at UM; or highly visible research initiative sought by university.

Proposal Development Support (pre-award)

- Up to \$75,000 Award
 - Amount determined by specific PI request.
 - Funded equally by VPR (1/3), SVPAAP (1/3), and the participating departments/colleges (1/3).
 - Funds to be used for:
 - collection of pilot data or a publication demonstrating collaboration
 - student support
 - summer salary
 - required travel
 - workshops
 - other research-related, proposal development activities
- VPR Proposal Development Support (provided by Research Development Unit)
 - Facilitate program briefings to involve appropriate faculty in preliminary meetings.
 - Assist with developing inter-institutional and corporate partnerships and with marketing university capabilities.
 - Writers, graphic artists, and proposal coordination staff, as needed.
 - Facilitate contacts with state and federal agencies and officials.

Infrastructure Support (post-award)

- Annual operating support equal to 10% of the budgeted IDC annually, or post-award cost sharing support of up to \$75,000 annually.
 - As initiative grows and/or awards are significantly larger, the 10% budgeted IDC basis for annual operating may be reduced subject to negotiation and need.

- Funded equally by VPR (1/3), SVPAAP (1/3), and participating departments/colleges (1/3).
- Funds to be used for:
 - If annual operating support, to support unallowable costs under the grant/contract including: new proposal generation, administration, general equipment and operating expenses, and/or training. Funds are not supported for otherwise allowable costs under a “Major Program” definition: for example, administration and clerical support for managing the grant/contract.
 - If cost sharing, to support allowable costs under the grant/contract.

Expectations of FDC or Major Program

- College and Department-earned DRIF distributions will be allocated directly to departments and colleges whose faculty participate in the Center, based on level of faculty contribution negotiated at time of proposal submission.
- If Center receives fees (e.g. UARC), special IDC arrangement, or state funding, then the 10% additional annual support will not apply.
- Only additional increments to the original, establishing award will receive the same annual operating support as the original contract/grant.
- If Center funding is discontinued, the special provisions of the FDC program (as covered above) will no longer apply.
- Annual operating support will be reviewed every 3-5 years, depending on the term of the establishing grant/contract, and renegotiated as necessary.
- Annual progress reports distributed to department chair(s), dean(s), and VPR.

Process for FDC or Major Program Requests:

- Complete universal funding form and Tier 2 request form for proposal development incentive support and forward to the VPR with signatures of chair(s) and dean(s).
- Complete universal funding form and Tier 2 request form for annual operating support and forward to the VPR with signatures of chair(s) and dean(s).
 - VPR will negotiate with the Provost on their support and obtain the necessary signature.
 - Copies of the fully executed request will be sent via email to the requestor and appropriate contacts in the departments and colleges.

TIER 3: Campus-wide Research Initiatives (CRI) Program

Purpose:

To sponsor the development of broad, high profile, multidisciplinary research themes, Centers or initiatives that will position the University to become a national leader in an emerging or sustained area of research that responds to a national or societal need.

Eligibility Criteria

- Leader identified.
- Research area reflects university priorities.
- Multidisciplinary, campus-wide research effort that leverages existing strengths or potential excellence across the university.
- Research capabilities unique and/or competitive, relative to our peers.
- Strategic plan for external funding.
- Plan for long-term sustainability.
- Clear, significant campus impact from both local and national perspectives.
- Plan to engage public and private stakeholders.
- Collaborative research expected to lead to significant future growth.
- Significant support from departments and colleges.
- Clear annual milestones.

Research Initiative Development Support (Pre-Designation as CRI)

- Up to \$150,000 One-Year Planning Award
 - Funded equally by VPR (1/3), SVPAAP (1/3), and participating department(s)/college(s) (1/3).
 - Funds to be used for:
 - outreach efforts (e.g. conference or workshop)
 - marketing
 - equipment
 - proposal development costs (e.g. travel, administrative costs, red team for proposal review)
 - teaching buyout for lead PI.
- VPR Development Activities Support (provided by Research Development Unit)
 - Facilitate preliminary meetings among research units and faculty.
 - Coordinate conference or workshop.
 - Facilitate contacts with corporate, state and federal agencies and officials.
 - Assist with developing inter-institutional and corporate partnerships.
- VPR Proposal Development Support (provided by Research Development Unit)
 - Writers, graphic artists, and proposal coordination staff, as needed.

Infrastructure Support (Post-Designation as CRI)

- Up to \$150,000 per year of annual operating support for three years.
 - Funds to be used at discretion of initiative leader to support growth of research initiative.
 - Funded equally by VPR (1/3), SVPAAP (1/3), and participating department(s)/college(s) (1/3).
- An additional commitment to support future strategic faculty hiring in areas of needed intellectual expertise.
- Aggressive, university-wide outreach and public relations effort.
- Institutional leadership commitment.

Expectations of CRI

- High level advisory committee developed to steer the initiative.
- Semi-annual progress reports demonstrating milestones met.
- Generate significant external funding within three years of designation as CRI, and is moving toward sustainability.
- Annual operating support will be reviewed after three years and renegotiated, as necessary.
- External funding progress will be reviewed annually to assess viability.

Pre-Designation Process

- Two page concept paper to receive planning grant to include:
 - description of initiative
 - participants
 - plan for external funding and long-term sustainability
 - description of projected national and local impact
 - plan to engage public and private stakeholders
 - clear milestones
- Proposed budget.
- Reviewed and approved by senior campus leadership (VPR and SVPAAP) in addition to chairs(s) and dean(s).