

Preliminary Report of the Senate Executive Ad-Hoc Committee on Faculty Travel and Research Funding

Rebecca Weaver-Hightower

Dana Harsell

Kanishka Marasinghe

With invaluable assistance from the Bureau of Educational Services and Applied Research (BESAR) and the Senate Scholarly Activities Committee (SSAC)

Goals:

- To assess and better understand what funding is available to UND faculty for research and travel purposes
- To assess how faculty perceive the adequacy of the internal funding currently available
- To assess what faculty might be able to do in terms of a more ambitious research agenda with increased funding
- To assess the need for the Senate Scholarly Activities Committee as the University moves into the MIRA budget model
- To assess how UND compares to its benchmarks and neighbor universities in terms of research and travel data
- To collect data that might be used to advocate to state and local governments for increased research and travel funding for faculty
- To gather ideas for how faculty and the University Senate can assist the institution in its work to secure further funding for travel and research

Executive Summary:

A snapshot of UND's available funding, as self reported by faculty, indicates that faculty feel that they need additional research and travel support. Comparison of UND's institutional funding as self-reported to the NSF supports that notion, since we fall far behind both our peer institutions and regional institutions in internal funding. Further, examination of the data provided by the Senate Scholarly Activities Committee argues both for the continued need for that committee and for a substantial increase in its resources, since its funding has not been increased in twenty-six years and since it continues to be widely accessed. Finally, this committee recommends that the University of North Dakota prioritize faculty travel and research funding as we go through the process of resource allocation under MIRA and that we lobby state and local governments for a larger contribution to faculty research and travel.

Table of Contents:

1. Snapshot of UND’s available internal funding.....	3-5
The Survey Response	
Faculty Travel	
Research Support	
Startup funding	
2. Assessment of the Senate Scholarly Activities Committee.....	6-8
Demand for the SSAC	
SSAC Funding	
3. Comparison Data from Peer Comparison and Regional Institutions.....	9-12
Our Process	
Comparison with the University of Kentucky in “Real” Dollars:	
Further Comparison with Peers Using NSF Data, Including Indirect Costs	
Comparison with <i>Regional</i> Peers Using NSF Data	
4. Presentation of Questions, Recommendations, and Next Steps.....	13-14
Questions	
Recommendations	
Next Steps	
5. Appendices of data sets	
#1. SSAC Request Awards Table 1989-2014.....	15-18
#2. Responses from Personal Request for Information from Peer Comparison Institutions	19
#3. University of Kentucky self study data.....	20
#4. BESAR Report of Data from Faculty Survey.....	21

1. Snapshot of UND's Internal Funding

The following data were primarily gathered from a survey administered by the University Senate and read by the Bureau of Educational Services and Applied Research (BESAR). The entire report is available as Appendix 4, but following are some of the more useful conclusions of that report for the purposes of this study.

We recommend reading the entire BESAR report of the survey because it includes information that would be useful to Administration beyond the bounds of this study and because it is, to our knowledge, the first study of internal funding of this type performed at UND. Here we are highlighting conclusions, but the variety and range of data are also very interesting and potentially very useful.

A. The Survey Response:

- 297 faculty filled out the survey.
- All Colleges were represented by faculty response.
- 40 of 65 department chairs reported.
- No Deans fully answered the survey, though one attempted to and contacted the survey team midway through with questions. We hope to present this data as a work in progress at the Deans' Council and to then to collect their responses through a retooled survey that would be more suited to their data.

B. Faculty Travel:

- As the BESAR report reminds, nearly all faculty on campus, though to varying degree, are expected to attend and present work at conferences as part of evaluation, promotion, and tenure.
- Moreover, SSAC funding for travel impacts grants, publications, and collaboration, since papers and presentations are often a necessary step to obtaining feedback on work in progress.
- Conferences are the most important (and standard) means by which faculty access professional development. As the BESAR authors explain, conferences "are not a perk of academia but are a necessary means of fulfilling the institution's mission."
- We would also like to stress that the University of North Dakota is a geographically isolated campus, meaning that faculty have few peers within a day's drive with whom to consult and collaborate, making travel to professional conferences even more vital for staying current in one's field and networking for research opportunities.

With that said, following are highlights of the Senate survey on faculty travel:

- Nearly half of respondents attend at least one conference a year.
- 79% attend one or two conferences per year, which we estimate is likely what they are able to cover with existing funding.
- 65% of respondents would go to an extra 2 conferences a year if given funding.
- Based on the 260 people who answered, the total money for travel equaled \$330,000, leaving an average of \$1400.00 per faculty member.
- However, the self-reporting of funding available for travel shows wide variation in what faculty have available. Some reported being allowed more than \$5,000, while others reported less than \$500. The graph below illustrates that discrepancy.
- Respondents reported significant out of pocket expenses for conference travel not covered by departmental, College, or SSAC funding, with an average of \$1200.00 each.

Number of Faculty Reporting Travel Funding Amounts from UND, by College

Colleges	\$0-500	\$501-1000	\$1001-2000	\$2001-3000	\$3001-5000	>\$5000
College of Arts & Sciences	33	44	26	6	0	0
College of Business & Public Administration	1	1	10	0	0	0
College of Education & Human Development	2	9	20	1	0	0
College of Nursing & Professional Disciplines	4	1	6	1	0	0
Honors Program	1	0	1	0	0	0
Odegard School of Aerospace Sciences	10	4	6	3	2	0
School of Engineering & Mines	2	4	6	5	1	1
School of Law	0	0	0	1	2	1
School of Medicine & Health Sciences	10	11	10	1	8	3

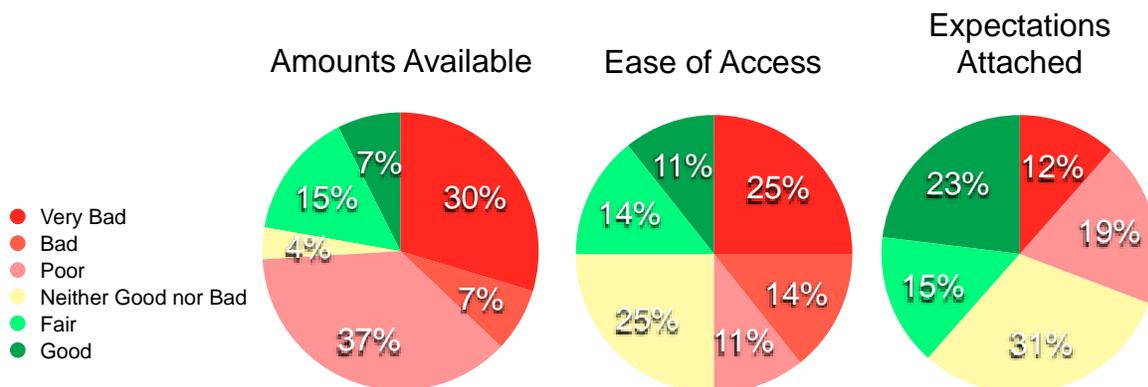
C. Research Support:

- Surprisingly, respondents reported that more support for travel and research was available at the departmental level than at the College level.
- Funding available on the departmental level also varies widely. Some reported being allowed more than \$12,000, while others reported less than \$500.
- Types of support also varied from department to department. The following table illustrates some of that variation.

#	Answer	Response	%
1	Grants and contracts assistance	5	17%
2	Writing and editing assistance	2	7%
3	Faculty committee on research with a budget to distribute	5	17%
4	Travel and research assistance specifically for graduate students	13	43%
5	Departmental technology specialist(s)	7	23%
6	Chair's discretionary funds for research	11	37%
7	Statistical or research design assistance	4	13%
8	Other (please describe):	10	33%

D. Startup funding:

- Chair assessment of start up funding was that it was neither sufficient, nor easily accessed. As the BESAR report explains, “74% of respondents said that the amounts were poor to bad, and 50% thought that the ease of access was poor to bad.”
- The numbers of respondents who thought startup funding were well used were equally divided among those that thought returns were good versus bad. See the following graphs for illustration.

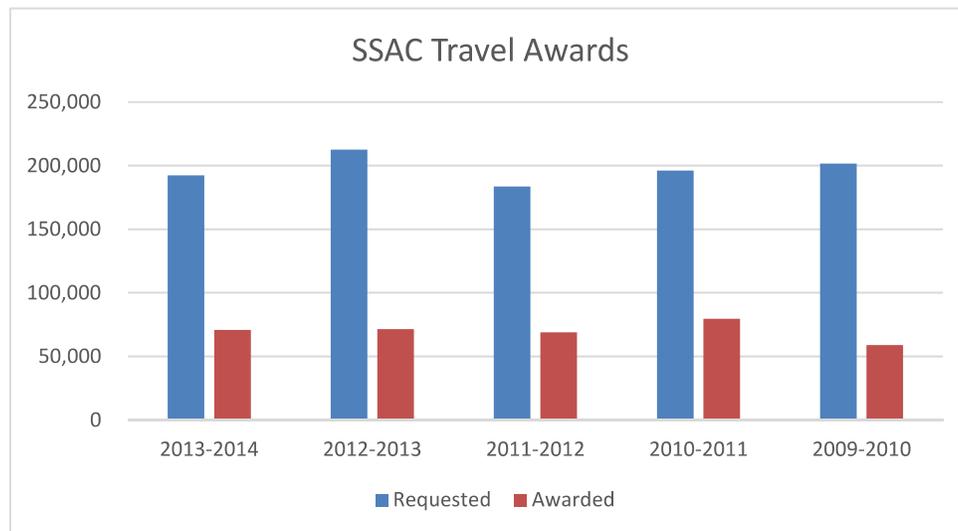


- As the BESAR report explains, “None of the chairs answered “very good” for any dimension of start up funds.”
- Comments in the open ended questions (included in the BESAR report) indicate a sense of discrepancy in who can access startup funds (i.e. “hard” sciences over social sciences) and the fact that some chairs reported lack of confidence in their knowledge of where to get startup funds, a troubling finding.

2. The Senate Scholarly Activities Committee

A. Demand for the SSAC

- Despite the funding available to faculty from colleges and departments, the SSAC has continued to provide a valuable and much used source of funding for faculty.
- The amount of requests brought to the SSAC demonstrates that resources faculty are getting from other sources are insufficient and argues for the continued value of the SSAC.
- The following data are only for requests actually sent to the SSAC, not representing actual faculty need. Faculty know only to submit one request per year, so anything above that is not represented by the following data.



SSAC Funding for the past 5 years (2009 - 2014)

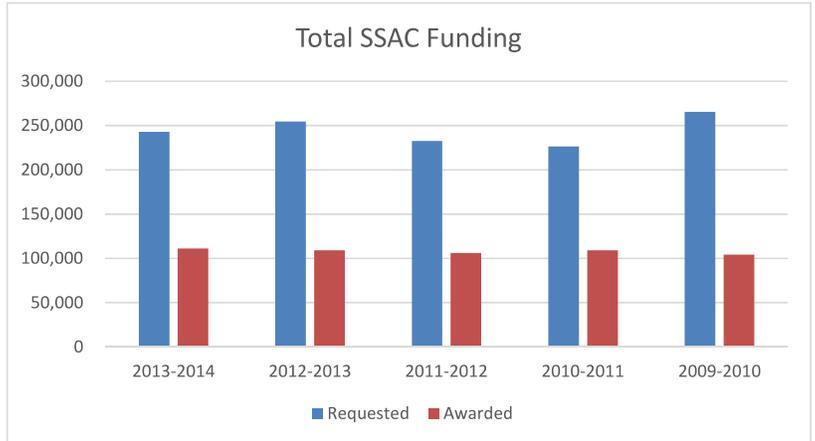
Travel only

<u>Year</u>	<u>Requested</u>	<u>Awarded</u>
2013-2014	192,274	70,732
2012-2013	212,664	71,439
2011-2012	183,492	69,051
2010-2011	196,096	79,453
2009-2010	201,664	59,003

Total SSAC Funding

(includes research and creative activity awards, publication awards, travel awards, and New Faculty Scholar awards)

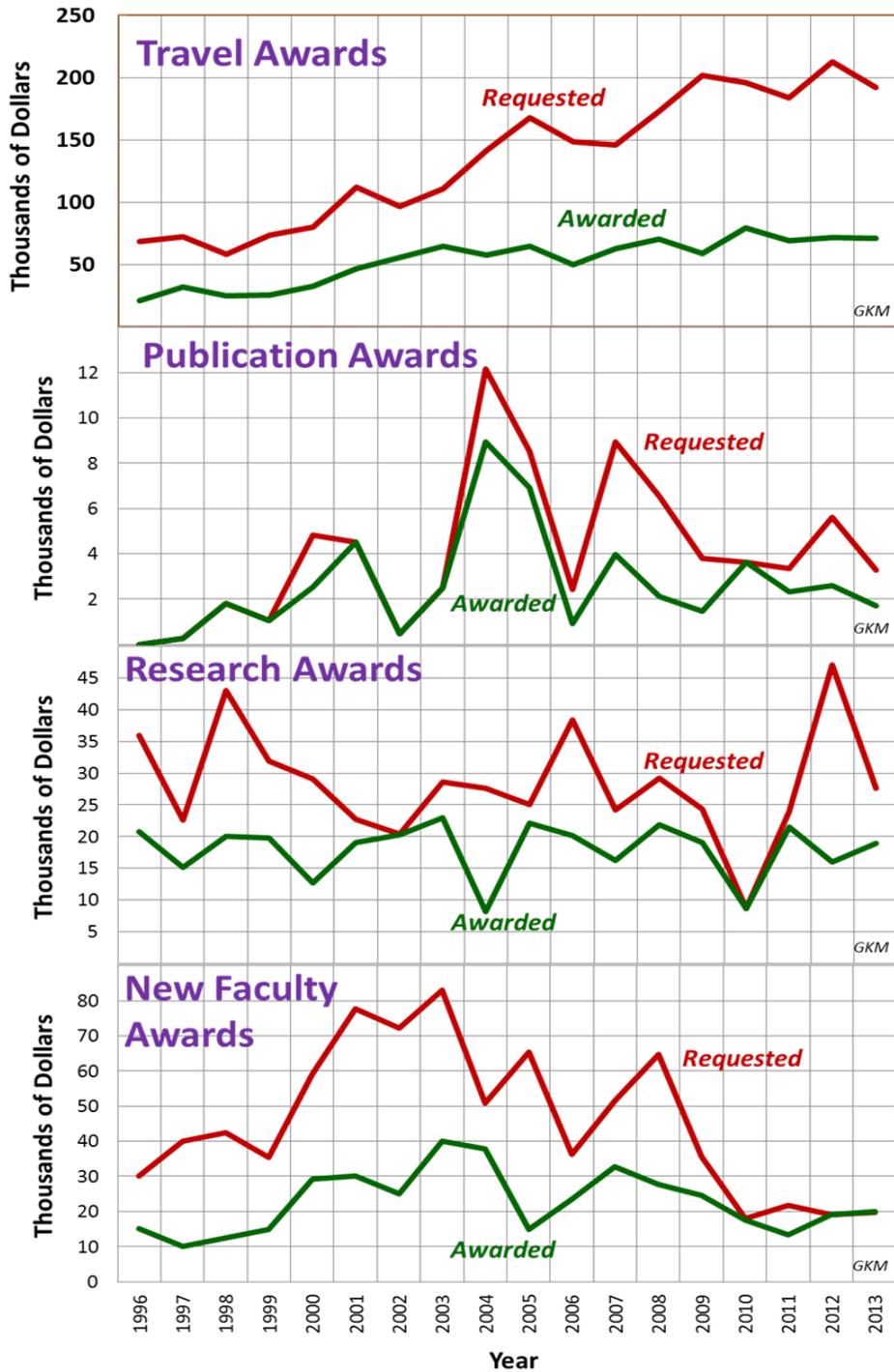
<u>Year</u>	<u>Requested</u>	<u>Awarded</u>
2013-2014	242,993	111,232
2012-2013	254,463	109,021
2011-2012	232,631	106,123
2010-2011	226,341	109,199
2009-2010	265,385	104,159



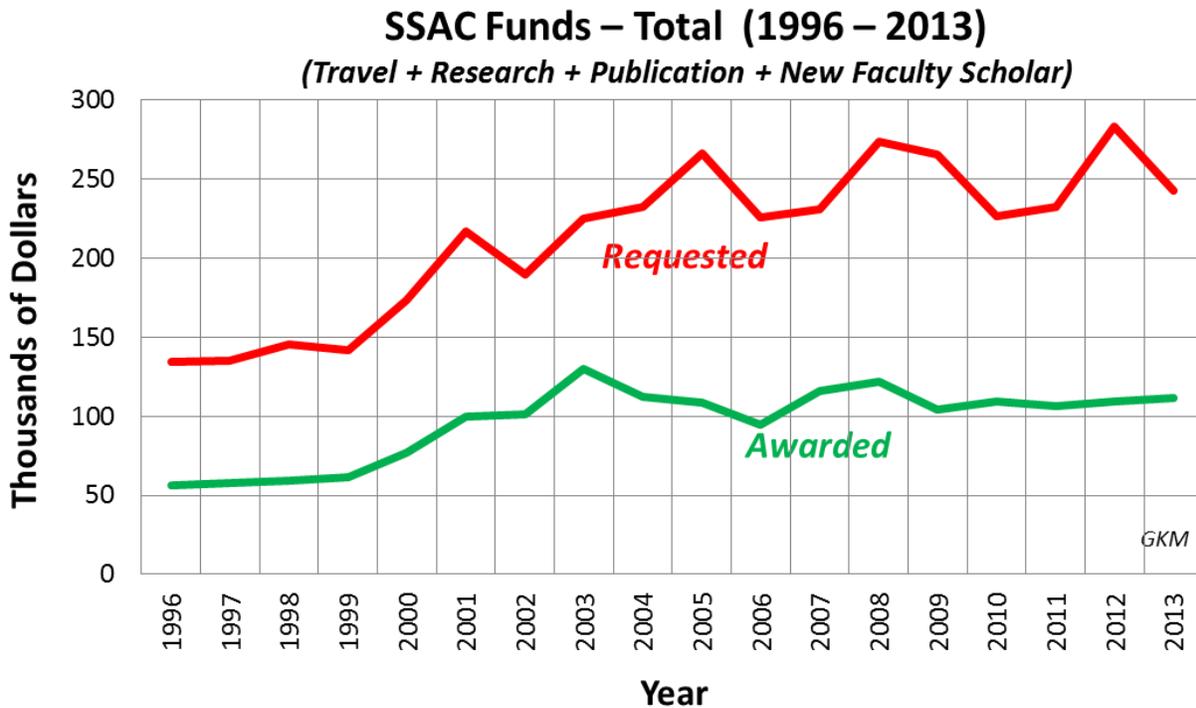
B. SSAC Funding

- As the graphs above illustrate, each year the amount requested of SSAC for travel and research support was more than twice the funding it had available.
- And again, these numbers do not reflect actual need, since faculty know to only submit one request per year, regardless of need.
- Data for requests versus awards going back to 1989 are available in Appendix 1. This data shows that the funding for the SSAC has remained essentially the same since 1989. Despite inflation, increases in gas prices, and increases in faculty, shockingly, the budget of the SSAC has remained essentially unchanged for 26 years.
- As the data gathered from the surveys show, a wide variation exists for what faculty have available from their college and department. SSAC clearly provides a necessary supplement.

SSAC Funds



As the above graphs (and appendix #1) illustrate, demand for SSAC funds has far outpaced availability. Over the last 18 yrs., SSAC has been able to provide on average only 45% of requested funds. The total amount of funds available to SSAC has not changed significantly for the last 13 years (since 2001).



The above graph provides a composite of travel, research, publication and new faculty scholar requests and funding awards. At an average funding rate of 40%, travel funds requests are the least funded. Even though the amount requested increased by approximately \$140K during the period under consideration, the amount awarded increased only by about \$50K. At an average funding rate of 72%, publication cost requests have fared the best. Research requests have been funded at an average rate of 68%. Until about 2008, New Faculty Scholar awards were funded at an average rate of 45%. Notably, NFS requests dropped sharply since then.

3. Comparison Data from Peer Comparison and Regional Institutions

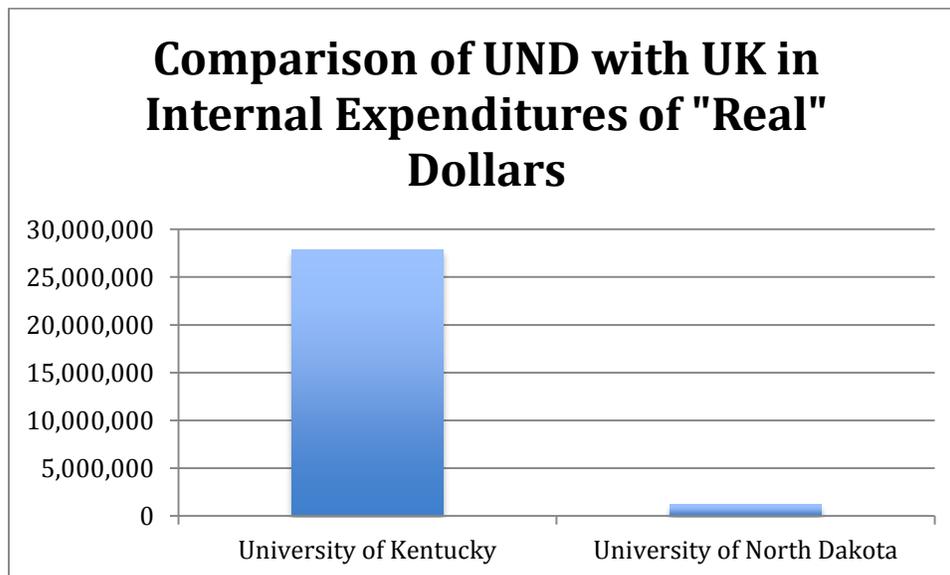
A. Our Process:

- The following data were drawn from direct communication with the research offices of our peer comparison institutions (as reported by the Office of Institutional Research <http://und.edu/research/institutional-research/peer-institutions.cfm>) and from data published by the National Science Foundation.
- We found that most of our benchmark institutions had not performed a similar self-study of available internal funding. Appendix 2 has a list of these institutions and their responses about their funding through personal communication. Some reported that research and travel support were regularly renegotiated through collective bargaining agreements.

- We found the most useful data that available from the National Science Foundation, which did allow comparison. (These data are available to the public; go to <http://ncesdata.nsf.gov/profiles/site>, search by institution, and then by source of funds, which would be “institution funds”). The NSF data are self-reported and, though not broken down, include costs like salary, matching funds, and F&A (facilities and administration) waivers for indirect costs. We understand that those numbers do not represent real money and that we don’t know for each institution exactly what they include, but we feel that, nonetheless, they do allow useful comparison.

B. Comparison with the University of Kentucky in “Real” Dollars:

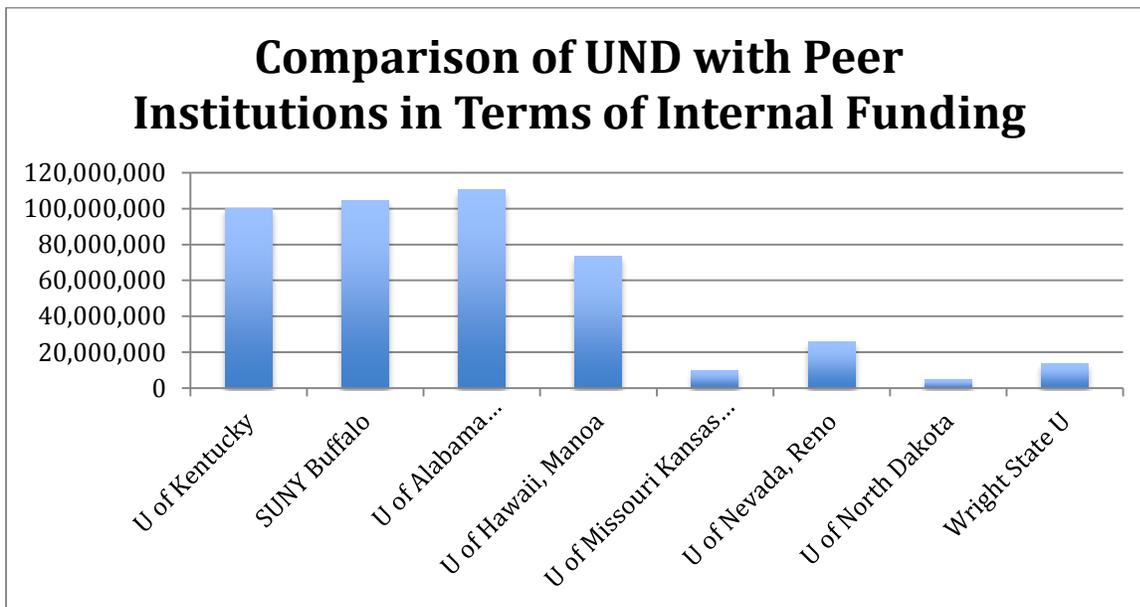
- The most useful data we received through direct communication came from the University of Kentucky. Their data broken down is included as Appendix 3.
- In their communication, they reported a total of \$27,859,368. This number, they explain, represents “real” dollars spent, including funding for faculty startup, faculty research support, and F&A (facilities and administration). A discrepancy exists between these figures and the \$100,049,000 they self-reported to the NSF as their institutional contribution. We speculate that the NSF data must include salaries and other “indirect” costs not included in their communication with us.
- To provide comparison, UND self-reported NSF total is \$4,777,600. This number includes funding for faculty startup, faculty research support, and F&A (facilities and administration). We do not have reporting of “real” dollars spent.
- But considering that the University of Kentucky’s “real” dollars are ¼ of their NSF reporting, we estimate that UND’s “real” dollar expenditures are ¼ of our reported \$4,777,600, which equals \$1,194,000.
- The chart following illustrates the contrast.



C. Further Comparison with Peers Using NSF Data, Including Indirect Costs:

We also accessed data of our benchmarks from NSF self-reported data, which, again includes institutional expenditures on salaries, matching funds, and F&A. We selected 7 peers for comparison, leaving out institutions that we thought would far outspend UND, like the University of Illinois at Chicago, The University of Virginia, and the University of North Carolina at Chapel Hill.

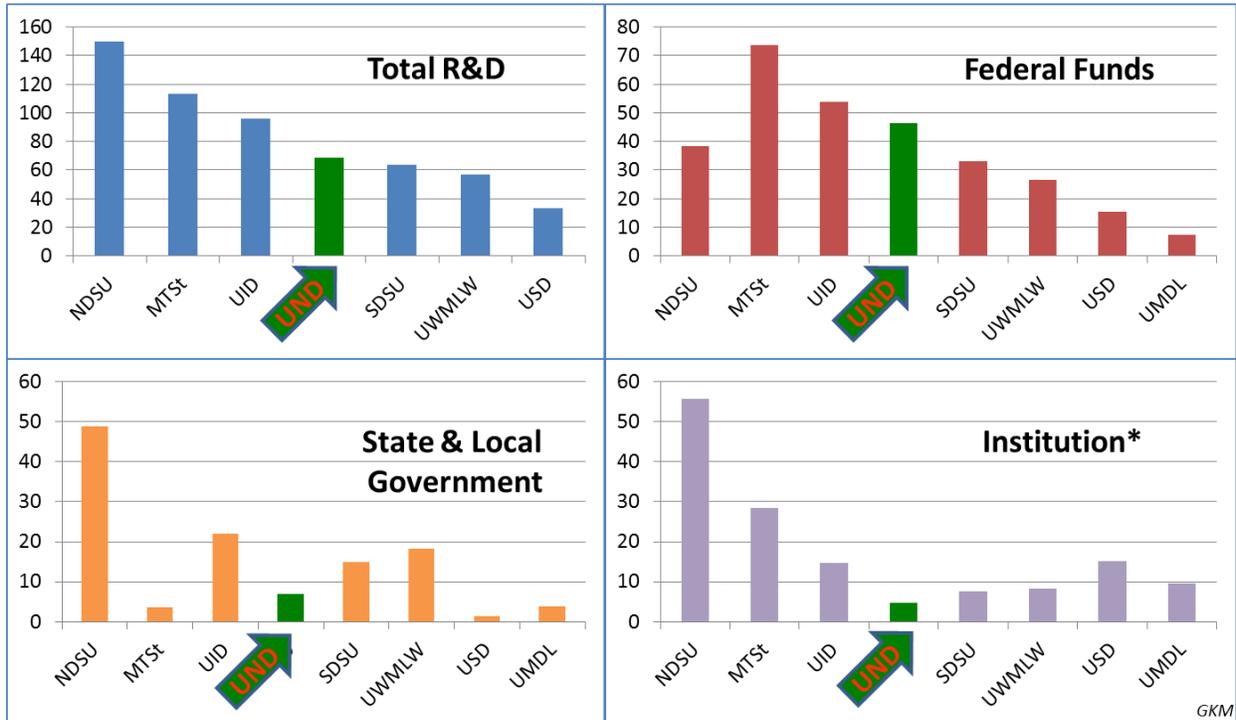
The following graph illustrates that UND is at the bottom of internal spending even among our more equivalent peers.



U of Kentucky	100,049,000
SUNY Buffalo	104,547,000
U of Alabama Birmingham	110,489,000
U of Hawaii, Manoa	73,428,000
U of Missouri Kansas City	9,856,000
U of Nevada, Reno	25,852,000
U of North Dakota	4,776,000
Wright State U	13,438,000

D. Comparison with *Regional Peers* Using NSF Data:

2013 Research Expenditure in Millions of Dollars
(Data from National Science Foundation)



MTSt – Montana St. U @ Bozeman UID – U. of Idaho
UWMLW – U. of Wisconsin @ Milwaukee UMDL – U. of Minnesota @ Duluth

The above graph shows UND in comparison to its regional peer institutions, Montana State, the University of Idaho, the University of Wisconsin, Milwaukee and the University of Minnesota Duluth.

- As the top left graph shows, UND is in the middle of the pack with total of \$68,942,000 spent on total Research and Development, compared to NDSU with \$150,173,000 and the University of South Dakota at \$33,187,000.
- But as the bottom right graph shows, UND is at the bottom of its peer institutions in *institutional* support at \$4,776,000, compared to NDSU's \$55,806,000.
- Part of the discrepancy between these two graphs can be explained by the graph on the top right left, which shows that UND compares relatively well in terms of federal funds.
- Another important element of the puzzle, however, is stressed by the graph at the bottom left, that shows how far behind UND lags in state and local government funds, which represents a real area for growth.
- The graphs present, again, the reality that UND's internal funding does not compare well to its peers.

4. Presentation of Questions, Recommendations, and Next Steps

A. Questions:

1. We eagerly anticipate learning more about the new initiative from the UND Foundation for corporate sponsors for research. We have requested an informational interview with David Gregory to get a sense of his timeline for corporate funding.
2. We question where research funding will come from under MIRA. Funding for faculty will certainly come from their primary units, but will we have pan-institutional sources, too? Will SSAC be funded from the Research Division, perhaps funded by a cut of F&A? Or will SSAC be funded by the Primary Units?

B. Recommendations (based on faculty comments on our survey and the data above):

1. Increase the SSAC funding to \$300,000 per year and tie that funding to the Consumer Price Index to make sure that it increases with inflation.
2. Prioritize faculty research and travel funding as decisions are being made about allocations of funding under MIRA.
3. Pursue a legislative strategy to increase research capacity and infrastructure, especially in areas that enhance UND's service mission to the state and/or help to address "wicked problems" faced by the state.
4. Provide a one-stop shop to assist faculty seeking funding (both internal and external) for travel, start up, and continued research. This one-stop approach would streamline the process, promote efficiency, and increase research.
5. Provide institutional support with finding external and internal grants, with grant writing and with statistics for faculty performing research in the humanities, social sciences, and fine arts, as well as the "hard" sciences. Over half of survey respondents indicated that they would welcome and use such support.
6. Sponsor open forums where faculty can share their experiences seeking research and travel funding, share ongoing projects and work, and brainstorm for ways to increase research output. These fora could also provide a means of educating faculty on the research support already available on campus, which the open ended comments faculty left, showed is seriously needed.
7. Hire a VP for Research with firm plans for how to increase internal funding for faculty research and travel and build research infrastructure (including, but not limited to central support for grant writing outreach, principle investigator support, statistical and technical support, etc.).
8. Perform a similar self-study on a regular basis (every five years?) to continue to assess how UND ranks next to its benchmarks.

C. Next Steps:

1. We wonder about the best uses of this report, where to disseminate it and how to best use it to provide the Provost and UND administration with tools to assess need and argue for greater resources. To whom should we send this? How public should we make it?
2. How can we assist in other ways advocating for faculty travel and research funding?

Appendix 1: SSAC Request Awards Tables, 1989-2014

SENATE SCHOLARLY ACTIVITIES COMMITTEE/FACULTY RESEARCH AND CREATIVE ACTIVITY COMMITTEE
REQUESTS/AWARDS 1989-2015

YEAR	REQUESTS										AWARDS										% awards/requests		
	New Faculty Scholar	#	Publication	#	Research	#	Travel	#	TOTAL	#	New Faculty Scholar	#	Publication	#	Research	#	Travel	#	TOTAL	#	Travel only Total		
2014-2015																							
September	0	0	0	0	0	0	76,863	48	76,863	48	0	0	0	0	0	0	11,647	42	11,647	42			
October	0	0	15,368	5	16,680	7	0	0	32,048	12	0	0	0	0	7,722	4	0	0	7,722	4			
January																							
February																							
May																							
Total																							
2013-2014																							
September	0	0	0	0	0	0	76,065	46	76,065	46	0	0	0	0	0	0	22,035	41	22,035	41			
November	0	0	3,290	3	9,807	5	0	0	13,097	8	0	0	1,700	2	7,400	4	0	0	9,100	6			
January	0	0	0	0	0	0	59,158	48	59,158	48	0	0	0	0	0	0	19,997	47	19,997	47			
February	19,814	4	0	0	17,808	9	0	0	37,622	13	19,814	4	0	0	11,585	6	0	0	31,399	10			
May	0	0	0	0	0	0	57,051	39	57,051	39	0	0	0	0	0	0	28,701	34	28,701	34			
Total	19,814	4	3,290	3	27,615	14	192,274	133	242,993	154	19,814	4	1,700	2	18,985	10	70,732	122	111,232	138	36.8%	45.8%	
2012-2013																							
September	0	0	0	0	0	0	70,675	57	70,675	57	0	0	0	0	0	0	20,990	50	20,990	50			
November	0	0	2,704	4	11,823	5	0	0	14,527	9	0	0	1,604	4	7,478	3	0	0	9,082	7			
January	0	0	0	0	0	0	62,401	49	62,401	49	0	0	0	0	0	0	20,991	42	20,991	42			
February	19,000	4	2,904	3	35,368	6	0	0	57,272	13	19,000	4	1,000	2	8,500	4	0	0	28,500	10			
May	0	0	0	0	0	0	79,588	44	79,588	44	0	0	0	0	0	0	29,458	36	29,458	36			
Total	19,000	4	5,608	7	47,191	11	212,664	150	254,463	172	19,000	4	2,604	6	15,978	7	71,439	128	109,021	145	33.6%	42.8%	
2011-2012																							
September	0	0	0	0	0	0	60,256	42	60,256	42	0	0	0	0	0	0	20,207	42	20,207	42			
November	0	0	2,860	6	9,525	4	0	0	12,385	10	0	0	1,816	5	7,025	3	0	0	8,841	8			
January	0	0	0	0	0	0	53,610	48	53,610	48	0	0	0	0	0	0	21,156	48	21,156	48			
February	21,804	5	490	1	14,460	6	0	0	36,754	12	13,281	4	490	1	14,460	6	0	0	28,231	12			
May	0	0	0	0	0	0	69,626	42	69,626	42	0	0	0	0	0	0	27,688	33	27,688	33			
Total	21,804	5	3,350	7	23,985	10	183,492	132	232,631	154	13,281	4	2,306	6	21,485	57	69,051	123	106,123	143	37.6%	45.6%	
2010-2011																							
September	0	0	0	0	0	0	76,216	52	76,217	52	0	0	0	0	0	0	28,985	45	28,985	45			
November	0	0	1,800	2	4,100	2	0	0	5,900	4	0	0	1,800	2	4,100	2	0	0	5,900	4			
January	0	0	0	0	0	0	60,945	43	60,945	43	0	0	0	0	0	0	17,738	34	17,738	34			
February	17,520	4	1,826	2	4,500	2	0	0	24,346	8	17,520	4	1,826	2	4,500	2	0	0	23,846	8			
May	0	0	0	0	0	0	58,934	41	58,934	41	0	0	0	0	0	0	32,730	37	32,730	37			
Total	17,520	4	3,626	4	8,600	4	196,096	136	226,341	148	17,520	4	3,626	4	8,600	4	79,453	116	109,199	128	40.5%	48.2%	
2009-2010																							
September	0	0	0	0	0	0	60,563	49	60,563	49	0	0	0	0	0	0	18,863	49	18,863	49			
November	0	0	666	2	4,387	2	0	0	5,053	0	0	0	666	2	0	0	0	0	666	2			
January	0	0	0	0	0	0	60,891	51	60,891	51	0	0	0	0	0	0	18,235	44	18,235	44			
February	35,620	7	3,115	4	19,933	9	0	0	58,668	20	24,620	5	808	3	19,062	9	0	0	44,490	17			
May	0	0	0	0	0	0	80,210	46	80,210	46	0	0	0	0	0	0	21,906	31	21,906	61			

YEAR	REQUESTS										AWARDS										% awards/requests	
	New Faculty Scholar	#	Publication	#	Research	#	Travel	#	TOTAL	#	New Faculty Scholar	#	Publication	#	Research	#	Travel	#	TOTAL	#	Travel only Total	
Total	35,620	7	3,781	6	24,320	62	201,664	146	265,385	166	24,620	5	1,474	5	19,062	9	59,003	124	104,159	173	29.3%	39.2%
2008-2009																						
September	0	0	0	0	0	0	66,915	56	66,915	56	0	0	0	0	0	0	22,450	51	22,450	51		
October	0	0	4,027	7	9,832	5	0	13,859	12	0	0	2,114	5	8,749	5	0	0	10,863	10			
January	0	0	0	0	0	0	46,281	42	46,281	42	0	0	0	0	0	0	19,468	41	19,468	41		
February	64,600	13	2,496	4	19,396	8	0	86,492	25	27,611	6	0	0	13,195	6	0	0	40,806	12			
May	0	0	0	0	0	0	59,907	39	59,907	39	0	0	0	0	0	0	28,172	38	28,172	38		
Total	64,600	13	6,523	11	29,228	13	173,103	137	273,454	174	27,611	6	2,114	5	21,944	11	70,090	130	121,759	152	40.5%	44.5%
2007-2008																						
September	0	0	0	0	0	0	56,101	43	56,101	43	0	0	0	0	0	0	19,594	41	19,594	41		
October	0	0	4,045	5	15,994	8	0	20,039	13	0	0	1,507	4	12,615	6	0	0	14,122	10			
January	0	0	0	0	0	0	53,574	47	53,574	47	0	0	0	0	0	0	20,195	44	20,195	44		
February	51,459	11	4,877	3	8,175	4	0	64,511	18	32,633	8	2,467	3	3,625	3	0	0	38,725	14			
May	0	0	0	0	0	0	36,405	23	36,405	23	0	0	0	0	0	0	23,019	22	23,019	22		
Total	51,459	11	8,922	8	24,169	12	146,080	113	230,630	144	32,633	8	3,974	7	16,240	9	62,808	107	115,655	131	43.0%	50.1%
2006-2007																						
September	0	0	0	0	0	0	66,208	59	66,208	59	0	0	0	0	0	0	9,617	27	9,617	27		
October	0	0	1,895	3	3,778	2	0	5,673	5	0	0	895	2	3,778	2	0	0	4,673	4			
January	0	0	0	0	0	0	37,345	38	37,345	38	0	0	0	0	0	0	16,223	37	16,223	37		
February	36,213	8	521	1	34,706	10	0	71,440	19	23,480	6	0	0	16,373	9	0	0	39,853	15			
May	0	0	0	0	0	0	45,221	35	45,221	35	0	0	0	0	0	0	24,122	34	24,122	34		
Total	36,213	8	2,416	4	38,484	12	148,774	132	225,887	156	23,480	6	895	2	20,151	11	49,962	98	94,488	117	33.6%	41.8%
2005-2006																						
September	0	0	0	0	0	0	62,350	55	62,350	55	0	0	0	0	0	0	18,798	51	18,798	51		
October	0	0	5,075	8	11,286	5	0	16,361	13	0	0	3,847	8	10,028	5	0	0	13,875	13			
January	0	0	0	0	0	0	46,747	54	46,747	54	0	0	0	0	0	0	19,045	52	19,045	52		
February	65,239	13	3,453	5	13,838	7	0	82,530	25	15,000	3	3,053	5	12,038	7	0	0	30,091	15			
May	0	0	0	0	0	0	58,493	38	58,493	38	0	0	0	0	0	0	26,751	36	26,751	36		
Total	65,239	13	8,528	13	25,124	12	167,590	147	266,481	185	15,000	3	6,900	13	22,066	12	64,594	139	108,560	167	38.5%	40.7%
2004-2005																						
September	0	0	300	1	0	0	55,939	53	56,239	54	0	0	300	1	0	0	17,934	52	18,234	53		
October	0	0	7,496	9	25,112	6	0	32,608	15	0	0	5,877	9	8,228	5	0	0	14,105	14			
January	0	0	0	0	0	0	33,840	42	33,840	42	0	0	0	0	0	0	17,841	42	17,841	42		
February	50,894	11	4,361	7	2,500	1	0	57,755	19	37,775	9	2,745	5	0	0	0	0	40,520	14			
May	0	0	0	0	0	0	51,996	43	51,996	43	0	0	0	0	0	0	21,725	40	21,725	40		
Total	50,894	11	12,157	17	27,612	7	141,775	138	232,438	173	37,775	9	8,922	15	8,228	5	57,500	134	112,425	163	40.6%	48.4%
2003-2004																						
September	0	0	0	0	0	0	28,033	36	28,033	36	0	0	0	0	0	0	16,799	36	16,799	36		
October	0	0	1,500	1	4,774	3	0	6,274	4	0	0	1,500	1	4,774	3	0	0	6,274	4			
January	0	0	0	0	0	0	33,597	34	33,597	34	0	0	0	0	0	0	16,466	33	16,466	33		
February	82,868	17	1,000	1	23,843	11	0	107,711	29	40,000	8	1,000	1	18,235	8	0	0	59,235	17			
May	0	0	0	0	0	0	49,112	33	49,112	33	0	0	0	0	0	0	31,506	31	31,506	31		

YEAR	REQUESTS										AWARDS										% awards/requests	
	New Faculty Scholar	#	Publication	#	Research	#	Travel	#	TOTAL	#	New Faculty Scholar	#	Publication	#	Research	#	Travel	#	TOTAL	#		
Total	82,868	17	2,500	2	28,617	14	110,742	103	224,727	136	40,000	8	2,500	2	23,009	11	64,771	100	130,280	121	58.5%	58.0%
2002-2003																						
September	0	0	0	0	0	0	37,764	46	37,764	46	0	0	0	0	0	0	15,174	41	15,174	41		
October	0	0	0	0	10,350	6	0	0	10,350	6	0	0	0	0	10,350	6	0	0	10,350	6		
January	0	0	0	0	0	0	32,618	39	32,618	39	0	0	0	0	0	0	17,778	35	17,778	35		
March	72,279	15	462	1	10,025	5	0	0	82,766	21	25,000	5	462	1	10,025	5	0	0	35,487	11		
May	0	0	0	0	0	0	26,317	27	26,317	27	0	0	0	0	0	0	22,710	24	22,710	24		
Total	72,279	15	462	1	20,375	11	96,699	112	189,815	139	25,000	5	462	1	20,375	11	55,662	100	101,499	117	57.6%	53.5%
2001-2002																						
September	0	0	0	0	0	0	34,379	39	34,379	39	0	0	0	0	0	0	12,714	38	12,714	38		
November	0	0	1,470	3	15,157	8	0	0	16,627	11	0	0	1,470	3	15,157	8	0	0	16,627	11		
January	0	0	0	0	0	0	32,506	39	32,506	39	0	0	0	0	0	0	12,358	33	12,358	33		
February	77,701	16	3,080	3	7,563	3	0	0	88,344	22	30,000	6	3,080	3	3,860	2	0	0	36,940	11		
May	0	0	0	0	0	0	44,951	42	44,951	42	0	0	0	0	0	0	21,329	32	21,329	32		
Total	77,701	16	4,550	6	22,720	11	111,836	120	216,807	153	30,000	6	4,550	6	19,017	10	46,401	103	99,968	125	41.5%	46.1%
2000-2001																						
September	0	0	0	0	0	0	32,417	33	32,417	33	0	0	0	0	0	0	6,910	32	6,910	32		
November	0	0	3,680	3	24,267	13	0	0	27,947	16	0	0	1,380	3	9,270	10	0	0	10,650	13		
January	0	0	0	0	0	0	28,675	37	28,675	37	0	0	0	0	0	0	13,003	34	13,003	34		
February	59,229	13	1,130	2	4,825	3	0	0	65,184	18	29,137	6	1,130	2	3,500	2	0	0	33,767	10		
May	0	0	0	0	0	0	18,943	19	18,943	19	0	0	0	0	0	0	12,588	18	12,588	18		
Total	59,229	13	4,810	5	29,092	16	80,035	89	173,166	123	29,137	6	2,510	5	12,770	12	32,501	84	76,918	107	40.6%	44.4%
1999-2000																						
October	0	0	0	0	14,422	9	20,323	25	34,745	34	0	0	0	0	10,947	8	7,491	18	18,438	26		
January	35,000	7	1,059	2	17,536	8	11,149	16	64,744	33	15,000	3	1,059	2	8,874	6	6,437	14	31,370	25		
April	0	0	0	0	0	0	41,992	44	41,992	44	0	0	0	0	0	0	11,440	40	11,440	40		
Total	35,000	7	1,059	2	31,958	17	73,464	85	141,481	111	15,000	3	1,059	2	19,821	14	25,368	72	61,248	91	34.5%	43.3%
1998-1999																						
October	0	0	988	1	23,880	13	19,413	24	44,281	38	0	0	988	1	10,049	6	9,898	24	20,935	31		
January	42,500	9	800	1	19,161	10	14,215	18	76,676	38	12,500	3	800	1	9,958	7	5,808	16	29,066	27		
April	0	0	0	0	0	0	24,256	31	24,256	31	0	0	0	0	0	0	9,181	26	9,181	26		
Total	42,500	9	1,788	2	43,041	23	57,884	73	145,213	107	12,500	3	1,788	2	20,007	13	24,887	66	59,182	84	43.0%	40.8%
1997-98																						
October	0	0	250	1	8,090	4	16,668	23	25,008	28	0	0	250	1	4,740	2	9,207	22	14,197	25		
January	40,000	8	0	0	14,527	5	17,801	26	72,328	39	10,000	2	0	0	10,427	5	8,748	22	29,175	29		
April	0	0	0	0	0	0	37,692	38	37,692	38	0	0	0	0	0	0	14,156	31	14,156	31		
Total	40,000	8	250	1	22,617	9	72,161	87	135,028	105	10,000	2	250	1	15,167	7	32,111	75	57,528	85	44.5%	42.6%
1996-97																						
October	0	0	0	0	20,399	11	26,995	52	47,394	63	0	0	0	0	8,801	6	6,991	42	15,792	48		
January	30,000	6	0	0	15,563	8	15,352	24	60,915	38	15,000	3	0	0	11,903	8	6,300	24	33,203	35		
April	0	0	0	0	0	0	26,240	30	26,240	30	0	0	0	0	0	0	7,531	24	7,531	24		

YEAR	REQUESTS										AWARDS										% awards/requests	
	New Faculty Scholar	#	Publication #	Research #	Travel #	TOTAL #	New Faculty Scholar	#	Publication #	Research #	Travel #	TOTAL #	Travel only	Total								
Total	30,000	6	0	35,962	19	68,587	106	134,549	131	15,000	3	0	20,704	14	20,822	90	56,526	107	30.4%	42.0%		
1995-96																						
October	0	0	2,475	1	76,669	24	19,147	25	98,291	50	0	0	18,200	16	7,345	20	25,545	36				
January	0	0	0	40,143	16	23,702	33	63,845	49	0	0	0	18,987	14	8,003	29	26,990	43				
April	0	0	0	0	0	28,612	40	28,612	40	0	0	0	0	0	3,836	21	3,836	21				
Total	0	0	2,475	1	116,812	40	71,461	98	190,748	139	0	0	37,187	30	19,184	70	56,371	100	26.8%	29.6%		
1994-95																						
October	0	0	3,318	1	18,852	13	25,765	31	47,935	45	0	0	1,100	1	14,022	12	10,470	22	25,592	35		
January	0	0	1,912	3	60,766	16	31,853	43	94,531	62	0	0	300	1	20,917	9	8,304	25	29,521	35		
April	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
Total	0	0	5,230	4	79,618	29	57,618	74	142,466	107	0	0	1,400	2	34,939	21	18,774	47	55,113	70	32.6%	38.7%
1993-94																						
October	0	0	0	0	22,047	16	29,545	38	51,592	54	0	0	0	0	12,399	14	11,747	32	24,146	46		
January	0	0	0	0	14,035	9	27,695	35	41,730	44	0	0	0	0	9,068	8	12,904	29	21,972	37		
April	0	0	0	0	11,592	7	15,571	18	27,163	25	0	0	0	0	7,547	5	7,407	11	14,954	16		
Total	0	0	0	0	47,674	32	72,811	91	120,485	123	0	0	0	0	29,014	27	32,058	72	61,072	99	44.0%	50.7%
1992-93																						
October	0	0	1,305	3	29,558	19	21,076	33	51,939	55	0	0	630	3	10,543	11	9,361	27	20,534	41		
January	0	0	689	2	35,686	21	19,134	32	55,509	55	0	0	210	1	13,596	17	11,587	29	25,393	47		
April	0	0	0	0	22,211	14	10,008	18	32,219	32	0	0	0	0	9,126	13	5,287	14	14,413	37		
Total	0	0	1,994	5	87,455	54	50,218	83	139,667	142	0	0	840	4	33,265	41	26,235	70	60,340	115	52.2%	43.2%
1991-1992																						
October	0	0	2,000	1	40,940	26	27,071	36	70,011	63	0	0	1,000	1	16,646	21	15,180	35	32,826	57		
January	0	0	4,246	5	30,859	28	28,589	40	63,694	73	0	0	0	0	13,601	23	9,759	32	23,360	55		
April	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
Total	0	0	6,246	6	71,799	54	55,660	76	133,705	136	0	0	1,000	1	30,247	44	24,939	67	56,186	112	44.8%	42.0%
1990-1991																						
October	0	0	400	2	17,538	12	23,608	27	41,546	41	0	0	400	2	7,944	8	11,429	25	19,773	35		
January	0	0	0	0	31,112	21	29,457	37	60,569	58	0	0	0	0	13,934	15	13,060	31	26,994	46		
April	0	0	351	1	12,255	11	18,634	23	31,240	35	0	0	351	1	4,333	9	7,850	21	12,534	31		
Total	0	0	751	3	60,905	44	71,699	87	133,355	134	0	0	751	3	26,211	32	32,339	77	59,301	112	45.1%	44.5%
1989-90																						
October	0	0	975	1	30,437	20	17,594	29	49,006	50	0	0	0	0	11,305	16	9,038	24	20,343	40		
January	0	0	750	1	20,798	19	21,123	33	42,671	53	0	0	125	1	9,065	12	11,762	33	20,952	46		
April	0	0	160	1	12,928	14	13,638	21	26,726	36	0	0	160	1	3,463	10	7,205	19	10,828	30		
Total	0	0	1,885	3	64,163	53	52,355	83	118,403	139	0	0	285	2	23,833	38	28,005	76	52,123	116	53.5%	44.0%

Appendix 2: Responses from Personal Request for Information from Peer Comparison Institutions

Institution	Respond	Comments
University at Buffalo	Y	Travel funding follows state employee travel policy http://www.osc.state.ny.us/agencies/travel/manual.pdf http://osc.state.ny.us/agencies/travel/part8.htm http://www.ogs.ny.gov/BU/SS/Trav/default.asp http://www.osc.state.ny.us/agencies/travel/travel.htm
University of Alabama at Birmingham	N	
University of Hawaii at Manoa	Declined	
University of Illinois at Chicago	Y	haven't done a study per se but offer various internal funding mechanisms which can be found here: http://research.uic.edu/funding/internal-seed-funding/
University of Kentucky		
University of Louisville	Y	Have not conducted a similar study
University of Missouri-Kansas City	N	
University of Nevada-Reno	N	
University of North Carolina at Chapel Hill	N	
University of Pittsburgh	Y	Internal funding handled at the school level rather than office of research or Provost
University of Tennessee	N	
University of Vermont	Y	Governed by collective bargaining agreements: http://www.uvm.edu/hrs/?Page=info/relations/agreements.html&SM=info/infomenu.html
University of Virginia	N	
Wright State University	N	

Appendix 3: Data on Internal Travel and Research Funding from the University of Kentucky

Fiscal Year 2013-2014 Research Programs Expenditures

Faculty Startup	\$	16,475,704
New and continuing startup commitment		
Enrichment Program		6,321,291
Awards to departments and colleges based on indirect costs (F&A) earned on sponsored projects		
Faculty Research Support		461,980
This category includes faculty achievement awards, competitive Research Support Grants, service center pilot grants and faculty retention funding		
Grant Related Support		1,699,183
Mandatory and non-mandatory grant matching and cost share		
Shared Use Facilities		1,421,675
Core facilities subsidies, and occasional other special projects in the core facilities managed by Research		
University Wide		1,479,535
Assistance with off-campus leases on research space, debt service, Research buildings M&O, institutional memberships, consultants, training and certification expense for Research facility personnel		
Total Expenditures	\$	<u>27,859,368</u>