

## **The Ohio Board of Regents**

### **Incentive Fund Competition**

#### **Request for Proposals**

**March 23, 2000**

*Approved by RACGS on March 3, 2000*

This document addresses the Incentive Fund component of the new doctoral program performance-funding model advanced by the Graduate Funding Commission and provides guidelines for state-assisted universities to use in seeking doctoral program grant support from the Incentive Fund. There are three elements in the new doctoral program performance-funding model: 1.) The **base component** supports doctoral enrollments in the subsidy calculation and calls for institutional accountability in the form of a comprehensive program review for each doctoral program at least once every eight years. Such program reviews will continue to be based on the quality standards developed by RACGS. Additionally, doctoral program achievement should be assessed through comparisons with similar programs within a peer group of institutions; 2.) The **investment component** is intended to provide funding for internal investments to be made solely at the discretion of each institution in order to build world-class academic excellence. A peer review and reporting schedule for the investment component was developed and approved by RACGS on September 24, 1999; and 3.) The **incentive component** is intended to encourage state-assisted universities to address critical State of Ohio needs.

It has been recommended by the Graduate Funding Commission that, within the context of the statewide doctoral subsidy ceiling, the incentive component of the new formula for doctoral subsidy *provide five percent to support special programs and projects for as few as one and as many as five years. Programs would be selected through a competitive process. The core topics of the competition will remain the same for at least five years* and, in the initial five-year period, will be defined broadly as: 1.) improving the state's economic development; 2.) strengthening the state's system of elementary and secondary education; and 3.) improving public health and safety.

**Request for Proposals.** The purpose of this announcement is to solicit Incentive Fund proposals from eligible institutions for major projects that directly address critical State of Ohio needs. Annually, beginning in Fiscal Year 2001, state-assisted universities with doctoral programs will be invited to develop proposals for Incentive Fund grants.

**Institutional Eligibility.** The institutions eligible to apply for funding under the Incentive Fund competition are state-assisted universities in Ohio with doctoral program degree authority in any disciplinary area granted by the Ohio Board of Regents.

**Program Eligibility.** The only academic programs eligible to receive Incentive Fund support are doctoral programs at state-assisted universities in Ohio.

**Award Information.** In order to create a pool of funds in each fiscal year for distribution, a portion of each state-assisted university's doctoral allocation will be set aside. Ultimately 5% of the total doctoral allocation will go into the Incentive Fund. In FY 2001 exactly 2% of the total doctoral allocation for all state-assisted institutions will be set aside and made available for Incentive Fund grants. This figure will be 4% in FY 2002, 5% in FY 2003, and 5% in each fiscal year thereafter. All Incentive Fund awards will be three-year grants with funding to be received in annual installments over the three-year period of each Incentive Fund grant. At least one-half of the monies set aside in a given fiscal year will be made available for distribution in that fiscal year. The anticipated date of the Incentive Fund award announcements in FY 2001 is November 16, 2000.

**Limitation on Incentive Fund Requests.** There is no limit on the number of proposals that may be submitted by any one institution; however, there is a limitation on the total amount of funding that may be requested by any one institution for all of its Incentive Fund proposals in a given year: **No institution may request more than three times its contribution to the incentive component pool of doctoral subsidy funding for a given competition.** The calculated maximum total dollar amount of all Incentive Fund Grant requests in FY 2001 for each university is given in the appendix below.

**The Ohio Board of Regents' Review Process.** The review process for the Incentive Fund competition will be in three phases:

**Phase I: Letter of Intent.** After carefully considering the goals of this program, the mission of the institution, and the appropriateness of the proposed academic program to meet the Incentive Fund criteria, institutions are required to submit a letter of intent no later than Wednesday, **July 5, 2000**. This letter should indicate the area(s) of focus of the Incentive Fund proposal in sufficient detail to permit Regents' staff to identify appropriate external consultants.

**Phase II: Proposal.** The project description section has a limit of ten pages, double-spaced. Full proposals are due on, or before, Wednesday, **September 6, 2000** and should contain the following elements:

1. A complete and thorough description, project plan, and timetable for the proposed Incentive Fund project including an explanation of which critical state need(s) will be addressed in the project.
2. Identification of the doctoral program(s) involved in the project including the quality and strength of the current program faculty. The description should include appropriate reference to national standards of quality assessment in addition to internal institutional evaluation. Brief *vitae* of key faculty who comprise the program should be included in the proposal. The format of the *vitae* should reflect the most relevant and appropriate work and activities, presented in a format consistent with *vitae* in a given discipline, and not exceeding two pages in length for each faculty member.

3. A description of the anticipated research and scholarly impact of the Incentive Fund project on the disciplinary area(s) or, possibly, other related disciplinary area(s).
4. A brief description of the existing, as well as any new, resources provided by the university in support of the proposed Incentive Fund project, as appropriate.
5. Plans for sharing the benefits of the Incentive Fund project with other colleges in Ohio through consortial arrangements that are planned or currently in place, as appropriate.
6. A description of the university's plan to sustain this project effort beyond the period of funding provided by an Incentive Fund award, as appropriate.

**Phase III. Review and Selection.** The proposals will be screened administratively by Regents' staff to insure completeness and general appropriateness for the Incentive Fund competition. Proposals will be evaluated for academic quality by the Incentive Fund Initial Review Committee comprised of distinguished experts in the disciplines represented by the proposals who live and work outside of the State of Ohio. A second-tier review committee, the Incentive Fund Final Review Committee, will assess each proposal with respect to the demonstrated ability to address critical state need as well as the overall academic quality of the project. The Incentive Fund Final Review Committee will make the final recommendations for funding.

**Program Coordination.** The Incentive Fund Program will be coordinated by Dr. A. Harry Andrist, Director of Research and Graduate Programs, Ohio Board of Regents, who may be contacted at 614-752-9539 or [handrist@regents.state.oh.us](mailto:handrist@regents.state.oh.us).

### **Appendix**

1. Maximum FY 2001 Incentive Fund Grant Requests by University:

| <b>University</b> | <b>FY2001 Maximum Request</b> |
|-------------------|-------------------------------|
| Akron             | \$1,888,040                   |
| Bowling Green     | \$1,563,905                   |
| Cincinnati        | \$5,069,923                   |
| Cleveland         | \$388,904                     |
| Kent State        | \$2,452,717                   |
| Miami             | \$1,020,838                   |
| Ohio State        | \$10,200,602                  |
| Ohio University   | \$1,876,530                   |
| Toledo            | \$1,242,187                   |
| Wright State      | \$690,551                     |
| Youngstown        | \$31,315                      |
| MCO               | \$346,345                     |
| <b>Total =</b>    | <b>\$26,771,857</b>           |