

NY SUNY 2020 Challenge Grant
Groundrules and Request for Proposals for new Faculty
September, 2012

In anticipation of approval for the University at Albany's NY SUNY 2020 Challenge Grant, under the Governor's and Chancellor's NY SUNY 2020 initiative, the following "ground rules" are advanced for hiring new faculty to be funded under this plan.

Timing and hiring cycles: Proposals are due by *December 3, 2012*, for searches to begin in summer 2013 (positions to begin in Fall 2014). Proposals can advance single-year or multi-year hiring plans.

Principles for consideration: Proposals for hiring new faculty under UAlbany's NY SUNY 2020 plan should:

- Be aligned with the areas of strength and opportunity outlined in UAlbany's NY SUNY 2020 plan (available for review at: http://www.albany.edu/news_images/nysuny2020etecfinal.pdf) and the UAlbany Strategic Plan (<http://www.albany.edu/strategicplan/strategic.planning.documents.shtml>).
- Be scalable (viable in smaller or larger quantities), given the unknown nature of allocations in the out years of UAlbany's NYSUNY 2020 plan.
- Respond to the increased enrollment expectations and/or the increased external and graduate student support funding required under UAlbany's NYSUNY 2020 plan..

A variety of appointment types can be considered, including traditional tenured/tenure-track appointments as well as those that are "research-intensive," or "teaching-intensive." Non-tenure track postdoctoral appointments with specific time frame and specific set of research and/or instructional productivity and professional development goals may be considered, as could part time and/or non-tenure track instructional lines with or without provisions for an extended employment horizon. Proposals for faculty in multiple units (e.g. interdisciplinary faculty hires, or linked hires in two or more units) may also be considered. Units are encouraged to consider how different types of appointments will help grow enrollment and/or external research funding. For example, non-tenure track instructional lines may be used to allow research productive faculty to devote more time to grant-funded research.

Some important consequences to consider:

Given the critical nature of enrollment and extramural funds to the overall UAlbany 2020 plan, careful attention will be given to the outcomes of hiring during the five years of the plan. An evaluation of this will begin toward the end of "year 2" following initial hiring, using the metrics outlined in the successful proposal. The central funding for hiring plans made under UAlbany's NYSUNY 2020 plan for which expected external funding and/or instructional responsibilities (of the individual hire and of the unit) are unmet will be removed. Continued employment for those hired will need to be funded by unit resources. The same will be true if the academic unit overall instructional and/or external funding pattern declines.

Proposals are invited to respond to the call for increased enrollment and to the call for increased external funding:

- All proposals for faculty hires should outline the expected excellence to be achieved in research, scholarly, creative, and/or instructional work.
- For proposals responding primarily to the call for increased undergraduate and/or graduate enrollment:
 - Proposals should address increasing the instructional and advising capacity of the unit(s) while sustaining and improving the quality of these offerings. This might include innovations in how courses are taught, curriculum is offered, research is enhanced, and/or advising is provided.
 - Proposals should indicate (a) how the hiring proposal expands the capacity to provide instruction and advisement to a greater number of students, (b) information about likely student interest in and demand for the proposed offerings, particularly from top tier students, and (c) plans to recruit and sustain the anticipated level of enrollment.
- For proposals responding primarily to the call for increased external funding and graduate student support funding:
 - The expected annual external funding per new faculty line varies for different areas in t UAlbany’s NYSUNY 2020 plan.¹ Note that the funding level need not be achieved solely by a new hire; rather, this new level of annual funding might be achieved by one or by multiple, new and/or continuing, faculty across the hiring unit.
 - Proposals should address how the hire(s) will increase research productivity and research expenditures of the unit. This might include traditional tenured or tenure-track faculty lines that enhance current areas of strength or build strength in new areas. It might also include innovations such as hiring “teaching-intensive” faculty or instructors with “evergreen contracts” that will allow highly research-productive faculty to devote more time to grant writing and research activities.
 - Proposals should indicate (a) how the hiring proposal increases the potential for external funding in the unit, (b) information about likely funding sources, funding rates, and amount of potential awards, and (c) plans to sustain the anticipated level of funding.
 - Note that all external funding stemming from the UAlbany’s NYSUNY 2020 plan should include provisions for full support (stipend AND tuition) of graduate student assistants. In addition, grant applications stemming from the program will be expected to include

¹ Expected annual funding levels per new faculty line for each of the strategic initiative areas is provided below.

<u>Strategic Initiative Area</u>	<u>average annual external funding</u>
Human Health and Biomedical Sciences	\$500,000
Environmental and Economic Sustainability	\$500,000
Emerging Technologies	\$350,000
Public Service and Policy	\$250,000
Business and Entrepreneurship	\$100,000
Liberal Arts and Sciences	
Arts & Humanities	none expected; all levels welcome
Social/Historical/Area Studies	\$100,000
Mathematics/Sciences	\$250,000

2% salary recovery for faculty investigators. This 2% is separate from any “grant-funded teaching buyout” and will be centrally pooled to provide resources for research support. Possible sharing of grant-funded teaching buyout resources is currently under discussion.

- For proposals contemplating combinations of instruction and grant activity, relevant combinations of the above should be addressed.

Who can make a proposal?

- Faculty, faculty groups, departments, department groups, deans, other research unit heads, school/college groups, groups of other unit heads.
- All proposals must be submitted to the relevant dean(s) (or, for research units reporting to the VPR, to the VPR) for comment and prioritization in advance of the December 3 deadline. Please check with that office for the timeline required to achieve a December 3 final submission.

A proposal for NYSUNY 2020 hiring would address the following (see also the required submission elements). Materials should be submitted electronically to the relevant Dean(s) (or to the VPR, for units reporting there), and then to provost@albany.edu.

- Description of the proposed hire(s), addressing expected excellence to be achieved in research, scholarly, creative, and/or instructional work
- Information about the context of the hiring unit(s)
 - External funding of the unit(s)
 - Faculty and staff configuration of the unit(s)
 - Enrollment data of the unit(s) and comparison to Delaware benchmarks
 - Quality indicators for the unit(s)
 - Indicators of the demand for the proposed research/academic program and plans for recruiting and sustaining the enrollment growth
 - Comparison of UAlbany unit to their counterparts in other universities engaged in this area
- Expected outcomes and associated metrics (note: these will be used for evaluation of funded proposals):
 - Expected scholarly/research, instructional, and service responsibilities associated with this hire (note: this should include responsibilities assigned to the new hires as well as agreed-upon shifts among current faculty/staff)
 - Expected additional instructional and advisement offerings for the unit (note: this might include current instructional staff, not only among new hires)
 - Expected additional external funding for faculty in the unit (note: where relevant, this should include increases in funding among current faculty, not only among new hires)
 - Expected additional external graduate student support funding in the unit (note: where relevant, this should include increases in funding among current external graduate student support sources, not only that provided by new hires)
 - Any special “ground rules” or considerations needed
 - Expected ground rules for grant-funded teaching buyouts, where relevant
 - Estimates of scalability—concerning the viability of the proposed plans if they

- developing a history or track record with those sources);
- 3. application/award ratios of unit and of funder
- ii. Likelihood that a new or expanded offerings or program or area of study will attract students, as well as plans for recruiting and sustaining the new enrollment level. Likelihood evidence might include
 - 1. Data indicating that enrollment in classes in the program area have grown
 - 2. evidence that the program, at this institution, is more likely to attract students than similar programs at different institutions
 - 3. data about inquiries received
 - 4. labor market projections
- 4. Organizationally
 - a. Address all of the items outlined in the Proposal form
 - b. Provide an accurate and informative context for the program/ department/ school/ college for reviewers not familiar with the unit
 - c. Address unit plans in the event that the proposed outcomes are not achieved
 - d. Are plausible, given the record of the unit
 - e. Are reasonable expectations for the hire, or the unit (for instance, the supports necessary to accomplish the intended outcomes are in place)
 - f. Have already had (or at least begun) the conversations that would yield successful cross-unit collaborations, and provide evidence of same; specify the responsibilities of the contributing units (For proposals that refer to the possible roles of and collaborations with other units on campus)
 - g. Have already had (or at least begun) the conversations that would yield successful external collaborations, and provide evidence of same; specify the responsibilities of the contributing entities (For proposals that refer to the possible roles of and collaborations with entities external to the campus)
 - h. Have a budget that is demonstrably reasonable for the discipline/area/task
 - i. Have thought out and laid out broader impact and need beyond unit (e.g., GSS dollars needed, IT infrastructure needed, library resources needed, different classrooms needed, and so on)

The Review Process

On submission, proposals will be reviewed by a panel of faculty reflecting the breadth of the campus academic areas, and who bring campus-wide perspectives in leadership roles such as department chair, distinguished faculty rank, and membership campus-level advisory bodies, such as the Budget Advisory Groups and the earlier Compact Planning/Strategic Initiative review panel. Proposals will also be reviewed by the deans and other members of the Provost's Executive Advisory Council. All reviews will conform to appropriate recusal procedures for conflicts of interest.

Final funding decisions will include consideration of the merits of individual proposals, as well as the overall portfolio. Decisions should be available by May 2013.