GUIDELINES FOR CATEGORIZING
RESEARCH & PUBLIC SERVICE ACTIVITIES
AT KSU

Prepared by the
Center for Institutional Effectiveness
July 9, 2003
MEMORANDUM

To: Deans & Department Chairs

From: Ed Rugg

Re: Using the "Research" Classification for Sponsored Programs

In my oversight role for IE and IR at KSU, I periodically get involved in the review of "Information Management" issues. In that regard last spring, I was reviewing with Debbie Head KSU's Federal IPEDS report on institutional finances when we noted that the university was reporting no (zero) revenues or expenses in the category of "Research" for FY02. This was the case in past fiscal years as well, and will be true again next spring for our report on KSU's FY03 finances. We learned that much of what might have been categorized and reported as Research was being recorded instead under the Public Service or Instruction (departmental research and service) categories as a matter of standard operating procedure.

Interestingly, KSU is not alone in this practice within the USG. About half of the FY01 IPEDS reports from sister regional and state universities also showed zero dollars expended in Research. However, the other half which reported research activity included the largest regional university (Georgia Southern), a smaller metropolitan university (Augusta State), several smaller state universities (Georgia Southwestern, Fort Valley, West Georgia, and Georgia College), and our neighbor in Cobb (Southern Tech).

As I explored this issue with administrative colleagues in academic and fiscal affairs, we agreed that it was in KSU's academic and strategic interest to join the ranks of those who are reporting research activity and to do so as soon as possible. Toward that end, Jackie Givens recently modified the OSP proposal approval forms in order to capture and record the information needed for distinguishing "research" grants from public service and other activities for her annual reports as well as for KSU's accounting system. Ralph Rascati volunteered to coordinate the academic interests on this initiative with colleagues in fiscal affairs. Dawn Gamadanis and Shannon Kinman have plans in place to start coding new sponsored program awards under research, where appropriate, beginning on July 1, 2003.

As you know, "research" under the Boyer model is defined very broadly. Those who are involved in categorizing sponsored projects as primarily research, public service, instruction, or something else (such as scholarships) needed some guidance in making those categorical decisions. Consequently, the attached guidelines were drafted for that purpose. Should you have suggested edits or additions for this document, feel free to send them to me, and I will attempt to incorporate those thoughts into the guidelines. In addition, your attention to ensuring the most appropriate coding of grant proposals when the OSP approval forms are initially prepared and administratively reviewed in the future will be appreciated.

KSU has been heavily engaged in a broad range of sponsored research activities for many years. The total number of dollars expended annually for research at our university will probably
surpass the figures at most of our sister state and regional universities once our reporting is fully realigned in the next couple of years. That is an important story to be told in our statistical reporting and leveraged to KSU's advantage in the future.

ER:ls
Cc:    Dr. Black
       Dr. Rascati
       Dr. Carol Pierannunzi
       Jackie Givens
       Debbie Head
       Earle Holley
       Dawn Gamadanis
       Shannon Kinman
       Betty Siegel
       Bob Varga
DRAFT GUIDELINES FOR CATEGORIZING RESEARCH & PUBLIC SERVICE ACTIVITIES AT KSU
5-8-03

Like most comprehensive universities, KSU has three major dimensions of its institutional mission: 1) instruction, 2) research, and 3) service. Many of the faculty’s activities can be easily categorized into one of those three major aspects of the institution’s mission. Other activities are not easily classified, especially when they involve more than one or all three of these major dimensions of KSU’s mission. In those cases, the primary or principal focus of a separately budgeted faculty activity should become the basis for its classification as instruction, research or service. Furthermore, some separately budgeted faculty activities may not fit at all into the classification of instruction, research or public service, but belong instead in another category of the institution’s operation such as scholarships, academic support, student services or institutional support.

KSU’s success in securing sponsored research funding has grown rapidly in recent years. Expansion of graduate education and professional program accreditations have necessitated raised expectations for increased research productivity in many academic departments. Consequently, much more than half of KSU’s annual multi-million dollar stream of sponsored funding is devoted to separately budgeted activities that produce research outcomes. For example, most of the departmental and sponsored expenses associated with the Burruss Institute of Public Service, including the million-dollar Greater Atlanta Data Center project, are actually applied research rather than public service activities.

As KSU positions itself strategically to be a major player among comprehensive regional universities, it is imperative that the University’s growing commitments to its research mission be reflected in its annual reports of sponsored program activity and financial accounting. Past financial reports have not reflected much, if any, of KSU’s substantial annual activity in research. Changes are needed in how we budget and report our research activities separate from public service and instruction, perhaps beginning as early as the 2003-04 fiscal year.

Toward that end, these guidelines were drafted. The purpose of these guidelines is to expand upon and interpret KSU’s operational definitions of Research and Public Service in a manner that is consistent with Federal (GASB) and state reporting requirements. As a “Draft,” this document is subject to change and further refinement. By fine-tuning the manner in which KSU’s sponsored projects, revenues and expenditures are classified and reported in the future, the presentation and effectiveness of KSU’s teaching, research and service productivity will be improved.
Departmental Research & Public Service
Associated with KSU’s Budget for Instruction

The criteria for tenure, promotion, and merit pay at KSU expect faculty members to be productive in teaching (Teaching, Mentoring & Supervision), service (Professional Service), and research (Scholarship & Creative Activity). Consequently, the category of “Departmental Research and Service” should refer to the research and service activities of the faculty members in an instructional department that are not separately budgeted or expensed as cost centers or restricted accounts. Separately budgeted institutional funds, grants, and sponsored funds that are designated for activities which primarily involve the delivery of credit and noncredit instruction (including Continuing Education) should continue to be categorized as “Instruction.” However, separately budgeted activities which primarily involve the production of research outcomes should be categorized as “Research”; separately budgeted activities that primarily involve the delivery of a professional service to individuals and groups external to the institution should be categorized as “Public Service”; and separately budgeted activities that primarily involve another standard functional category of institutional operations (e.g., scholarships) should be categorized accordingly.

Revenues and/or Expenses for Research

Since the publication over ten years ago of Ernest Boyer's Scholarship Reconsidered, the higher education community and KSU have been challenged to broaden their definition of scholarly research and creative activity. KSU’s mission statement and its criteria for faculty tenure and promotion reflect Boyer’s philosophy and broad definition of academic research. KSU's Faculty Handbook refers to research as "Scholarship & Creative Activity." These guidelines for classifying departmental and sponsored revenues and expenditures attempt to capture this broad interpretation of research.

The category of “Research” refers to separately budgeted revenues and/or expenses (departmental or sponsored funds) that are designated for activities which primarily produce “research outcomes.” Research outcomes are broadly defined and vary greatly by type of research (e.g., basic, applied, integrative, scholarship of teaching, etc.) and are also defined very differently across the academic disciplines. For example, the “research outcome” of a creative artist’s scholarship is very different from a laboratory scientist’s. Nevertheless, the scholarship of a sculptor who painstakingly designs, constructs, and evaluates a creative three-dimensional artwork and exhibits it in a juried show reflects the behaviors we would typically associate with "research." Those behaviors are comparable to the scientist’s when he or she painstakingly designs, constructs, and evaluates a creative laboratory experiment and submits a manuscript of the findings for publication in a refereed journal. One common thread that links these diverse manifestations of scholarship to the broad category of academic research is that they reflect each discipline’s systematic approach to the act of creating something new that can withstand the scrutiny and judgment of others.

Accordingly, a comprehensive, but not all-inclusive, listing of activities which involve the production of “research outcomes” within the different disciplinary traditions at KSU is as follows:

- scientific laboratory research
- scientific field research
- human subjects research
social science survey research
statistical studies
demographic studies
GIS analysis
needs analysis studies
evaluation studies
assessment reports
action research projects
scholarship producing theoretical advances
historical research and writings
literary interpretation and criticism
artistic interpretation and criticism
creative artistic performances
creative artworks
creative writing
health-related studies
basic/discovery research
applied research
integrative meta-analysis
cross-disciplinary studies
research on teaching effectiveness
research on student learning
scholarship producing innovative curricular designs
creation of academic and professional publications

Revenues and/or Expenses for Public Service

The category of “Public Service” refers to separately budgeted revenues and/or expenses (departmental or sponsored) that are designated for activities which are largely (although not always exclusively) noninstructional professional services that are beneficial to groups external to the institution. These are services that primarily involve the use of professional knowledge and expertise to assist or serve the interests of individuals and groups in various community sectors. They are typically not activities and services which involve substantial or primary emphasis on the production of research outcomes. Some examples of such public service activities include community health clinics, small business development consulting services, microenterprise consulting services, museum and gallery exhibitions, theatrical and musical entertainment for public audiences, certification of election systems, group facilitation, planning facilitation, conferences, teleconferences, special events open to the public, etc.