



CHARTING THE FUTURE FOR INDIANA'S COLLEGES AND UNIVERSITIES

REQUEST FOR PROPOSALS

MARCH 2020

Please note that this RFP has been updated to reflect extended deadlines for Phase 2 and Phase 3 of this initiative.

Lilly Endowment is pleased to announce a new higher education initiative, Charting the Future for Indiana's Colleges and Universities (CTF).

The Endowment has launched CTF with the hope that it will help the leaders of Indiana's 38 colleges and universities engage in further thoughtful discernment about the future of their institutions and advance the speed of their strategic planning and implementation efforts to address their key challenges and opportunities. The Endowment has allocated up to \$108.2 million for the initiative, which will have three phases: a planning phase, an implementation phase, and an invitational phase for large-scale proposals. The Endowment recognizes the important role every president plays in guiding institutional change. It therefore encourages and expects strong presidential leadership in all phases of CTF.

Background

For decades, the Endowment has been committed to the strength and success of Indiana's colleges and universities, and it has provided support to them in a variety of ways to improve the educational attainment of Hoosier students and build the state's intellectual capital. At a time when the need for postsecondary education may be greater than ever, the Endowment is increasingly concerned about the daunting challenges facing Indiana's colleges and universities and colleges and universities across the country.

As the leaders of Indiana colleges and universities know, the financial models of many higher education institutions are threatened. Many colleges and universities, especially private institutions, have a high tuition discount rate, which can minimize revenue and undermine financial strength. Higher education enrollment in Indiana has been on a gradual decline since 2010 according to the National Center for Education Statistics, and the students who are entering colleges and universities are coming increasingly from diverse families and many are incurring high levels of debt. According to a recent Inside Higher Ed survey of college and university presidents across the country, only two-thirds agree that their college or university will be financially stable in the next five years. Many also believe that the trend of higher education closings and mergers likely will continue. Fourteen percent of the respondents could envision that their institution may close or merge in the next five years.

As Indiana college and university leaders are well aware, other forces and trends are compounding these challenges. Competition from other job training models (e.g., apprenticeships and certificate programs) is intensifying and more employers, especially in the information technology field, are looking increasingly for certain competencies that may or may not be evidenced by traditional college degrees. Opportunities for online learning are being enhanced and expanded. In certain in-demand disciplines, it is more and more difficult to find qualified faculty, especially for small to mid-sized colleges without substantial financial resources. Although several thought leaders are lifting up the value of education in the humanities for a meaningful life, there is significant pressure on colleges and universities to prioritize the STEM disciplines because of the demand for employees trained in them. And the dynamics relating to changes in state and federal funding policies for higher education can be disruptive and make it difficult for many colleges and universities to develop their budgets.

Despite these challenges, the Endowment believes opportunities exist for Indiana’s colleges and universities to become even more relevant, effective and sustainable. This will require them to develop creative and bold strategies, which may well include innovative forms of collaboration and consolidation. Thoughtful, innovative and courageous leaders can stimulate their institutions, moving them toward the kind of change necessary to respond to society’s need for higher education and the forces and challenges that could undermine their effectiveness and future viability.

Proposal Guidelines

PHASE 1 - Planning

In CTF’s planning phase, each of Indiana’s 38 colleges and universities is invited to submit a letter requesting a planning grant, ranging from up to \$100,000 to up to \$500,000, depending on the enrollment of the institution. Funds from these planning grants may be used at the discretion of the institution’s president for a variety of purposes, such as consultants, staff time, conferences and seminars, travel to gather information and ideas, and preparation for a Phase 2 proposal and Phase 3 concept paper as described below. During the initiative, the Endowment plans to provide opportunities for the colleges and universities to convene to discuss certain topics of common interest that could enrich their individual and collective efforts.

Colleges and universities are eligible for planning grant funding amounts identified in the table below:

Planning Grant Size	Higher Education Institutions	
Up to \$100,000	<ul style="list-style-type: none"> Ancilla College Anderson University Bethel University Calumet College of St. Joseph DePauw University Earlham College Franklin College Goshen College Grace College Hanover College Holy Cross College Huntington University Indiana Tech Manchester University 	<ul style="list-style-type: none"> Marian University Martin University Oakland City University Rose-Hulman Institute of Technology Saint Mary-of-the-Woods College Saint Mary’s College Taylor University Trine University University of Evansville University of Saint Francis Valparaiso University Wabash College Western Governor’s University (WGU Indiana)

Up to \$250,000

Ball State University
Butler University
Indiana State University
Indiana Wesleyan University

University of Notre Dame
University of Indianapolis
University of Southern Indiana
Vincennes University

Up to \$500,000

Indiana University
Purdue University
Ivy Tech Community College

To apply for these planning grants, each college and university is invited to submit a letter from its president to request an appropriate amount of planning funds on or before **November 22, 2019**. In this letter, the college or university president should:

- Briefly describe the institution's most pressing challenges and/or most promising opportunities.
- Briefly describe what activities the college or university might undertake using planning funds to prioritize or deepen its understanding of these challenges and opportunities.
- Indicate the amount requested for planning funds (not to exceed the amounts identified in the table above). Although a detailed budget is not required in requesting a planning grant, after the planning phase each institution will be required to report on how planning grant funds were used according to the schedule and other provisions of the grant agreement.

The Endowment encourages colleges and universities to consider a broad range of ideas and areas of focus with respect to preparing for a future of uncertainty and opportunity. While not a requirement, colleges and universities that want to work together to use these planning resources for greater impact will be allowed to pool their grant awards to pay for joint activities. Institutions wishing to pool their grant awards should describe the collaboration and joint activities in their planning grant proposal letters. Each award recipient will be paid separately.

It is expected that planning grants will be scheduled for payment no later than December 31, 2019.

PHASE 2 - Implementation

The second phase of CTF will make implementation funding available for all colleges and universities that complete the planning phase and submit high-quality proposals that present sound and promising strategies and programs that are likely to 1) prepare graduates who are better prepared for rewarding employment and to live engaged and meaningful lives, especially in Indiana; 2) result in economies of scale and other cost efficiencies or otherwise enhance the viability and financial condition of the institution; or 3) enable the institution to further more effectively its educational mission in innovative or different ways.

Colleges and universities are eligible for implementation grant funding amounts identified in the table below:

Implementation Grant Size Higher Education Institutions

Up to \$1,000,000

Ancilla College	Marian University
Anderson University	Martin University
Bethel University	Oakland City University
Calumet College of St. Joseph	Rose-Hulman Institute of Technology
DePauw University	Saint Mary-of-the-Woods College
Earlham College	Saint Mary's College
Franklin College	Taylor University
Goshen College	Trine University
Grace College	University of Evansville
Hanover College	University of Saint Francis
Holy Cross College	Valparaiso University
Huntington University	Wabash College
Indiana Tech	Western Governor's University (WGU Indiana)
Manchester University	

Up to \$2,500,000

Ball State University	University of Notre Dame
Butler University	University of Indianapolis
Indiana State University	University of Southern Indiana
Indiana Wesleyan University	Vincennes University

Up to \$5,000,000

Indiana University
Purdue University
Ivy Tech Community College

The Endowment encourages colleges and universities to be selective in prioritizing the challenges and opportunities they propose to address so that their efforts can be appropriately focused and strategic. In many cases, it may be preferable to prioritize only one challenge or opportunity to address.

Each college or university that wishes to participate in the implementation phase of CTF should submit a full implementation proposal on or before **June 30, 2020**. The proposal should be organized as follows and include the elements listed below:

- **Phase 2 Executive Summary:** This is a succinct, one-page summary of the implementation proposal. It should include a brief statement of the high priority challenges or opportunities to be addressed, a concise description of the proposed strategies and programs, a listing of any collaborators involved and their respective responsibilities, the amount being requested (up to the eligible amount based on enrollment) and the implementation timeline. It also should include the primary contact person's physical address, email address and phone number.
- **Phase 2 Implementation Proposal Narrative:** This is a narrative description of no more than seven pages that highlights the strategies and programs the college or university proposes to implement in addressing identified high-priority challenges or opportunities. The implementation proposal should include the following elements:
 - › A description of the challenges or opportunities to be addressed by the institution. The rationale for addressing the identified challenges or opportunities should be described, including why they were prioritized over others. This should include any feedback from community convenings, findings from research studies, economic analyses, and other relevant information.

- › A description of the strategies and programs to be conducted in addressing the prioritized challenges or opportunities.
 - › A description of how the proposed strategies and programs will be executed. This should include the identification of collaborators and an explanation of the responsibilities each party (including the higher education institution) will have in implementing the proposed strategies and programs. These responsibilities may include financial support and program implementation, among others.
 - › A description of the objectives of the proposed programs and strategies and how the institution will evaluate the extent to which the objectives are accomplished. This description should include the key outcomes and performance indicators, both qualitative and quantitative as appropriate, related to the challenges or opportunities being addressed.
 - › A description of any obstacles or challenges that are anticipated in implementing the proposal and how any difficulties will be addressed.
 - › A description of the institution's capacity to carry out its responsibilities identified in the submitted proposal.
 - › A timeline for implementation. This may be a narrative description or in the form of a Gantt chart.
 - › A description of how any ongoing activities launched or supported with grant funds during the implementation phase will be sustained after the Endowment's grant has been expended.
- **Phase 2 Budget and Budget Narrative:** The budget is a one-page document that details the costs associated with the implementation proposal. The budget narrative is an accompanying document that describes each budget line item and explains how it was calculated. If the budget for implementation is greater than the grant amount, the college or university should describe other sources of support for the proposed strategies and programs and organizations or individuals who may provide such support.

Although not required, colleges and universities may propose to use their implementation grant funds for strategies and programs that involve collaborations with other higher education institutions or nonprofit, business or governmental organizations in Indiana or outside the state to address compelling challenges or opportunities. Colleges and universities that want to work together to use these implementation resources for greater impact will be allowed to pool their grant awards to pay for joint activities. Institutions wishing to pool their grant awards should describe the collaboration in their grant proposals. They can either submit a joint proposal or describe the joint activities in individual proposals as appropriate. Each award recipient will be paid separately.

The Endowment expects implementation grants to be approved and paid by the end of 2020.

PHASE 3 - Large-Scale Proposals

The Endowment recognizes that during the planning phase, Indiana colleges and universities may identify some especially imaginative or transformative ideas to address extraordinarily compelling challenges or opportunities that would require funding in excess of the implementation grant amounts noted above for Phase 2. To support development and implementation of such ideas, the Endowment has allocated up

to \$40 million to be awarded on an invitational basis for special, large-scale funding opportunities. The programs and strategies proposed in a Phase 3 concept paper should 1) significantly expand or enhance the programs and strategies proposed in a higher education institution's Phase 2 proposal or 2) address in a significant way other compelling challenges and opportunities. The scale or depth of the envisioned impact of the programs and strategies proposed in a Phase 3 concept paper should be significantly greater than those proposed in the higher education institution's Phase 2 proposal.

Each college and university is invited to submit along with its Phase 2 proposal a brief concept paper that describes how it would use up to \$10 million in additional funding to implement programs and strategies that address such a compelling challenge or opportunity. In submitting a concept paper, colleges and universities are encouraged, but not required, to propose collaborations with other colleges and universities or other appropriate nonprofit, business or governmental organizations in Indiana or outside the state to address compelling challenges or opportunities. Although concept papers proposing grants of \$10 million are eligible for consideration under these guidelines, concept papers proposing lesser amounts may be more successful. The grant amounts proposed should be proportional to the scale and quality of envisioned impact.

To be considered for this Phase 3 large-scale funding opportunity, each interested college or university should submit a concept paper on or before **August 14, 2020**, as described below:

- **Phase 3 Executive Summary:** This is a one-page summary of the concept paper. It should include a brief statement of the identified compelling challenge or opportunity, the programs or strategies being proposed to address it, a listing of any collaborators involved and their respective roles and responsibilities, the amount being requested and the expected implementation timeline. It also should include the primary contact person's physical address, email address and phone number.
- **Phase 3 Concept Paper Narrative:** This is a narrative overview of no more than four pages that highlights the extraordinarily compelling challenges or opportunities the institution proposes to address, the strategies and programs it proposes to address them, the key objectives of the proposed strategies and programs, how the institution will evaluate the extent to which the objectives are accomplished, how it would envision sustaining ongoing strategies or programs launched with Endowment grant funds and a timeline for implementation. The concept paper should present a framework for the proposed programs and strategies, but it is not necessary to have 100 percent certainty on every detail.
- **Phase 3 Budget and Budget Narrative:** The budget is a one-page document that details the costs associated with the proposed programs and strategies. The budget narrative is an accompanying document that describes each budget line item and explains how it was calculated.

The Endowment in its sole discretion may invite colleges and universities that propose the most compelling and promising ideas to submit full, large-scale proposals for funding.

In evaluating submitted concept papers, the Endowment may consider, among other criteria, the extent to which:

1. The identified challenge or opportunity is compelling and extraordinary.
2. The proposed strategies and programs to address the identified challenge or opportunity are innovative and likely to succeed.

3. The proposed strategies and programs show promise to address some important need or build on a distinctive strength in the state of Indiana.
4. The concept paper describes meaningful collaborations.
5. The proposed strategies and programs are likely to result in college graduates who are better prepared for rewarding employment and to live engaged and meaningful lives, especially in Indiana.
6. The proposed strategies and programs are likely to result in economies of scale and other cost efficiencies for the college or university or otherwise enhance the viability and financial condition of the college or university.
7. The proposed strategies and programs may enable the institution to further more effectively its educational mission in innovative or different ways.
8. The proposed grant amount is proportional to the scale of the envisioned impact.
9. The proposed strategies and programs are feasible and sustainable.

The Endowment expects to notify in September 2020 those colleges and universities selected to advance to the full large-scale proposal stage. Soon thereafter, they will be invited to meetings to discuss their ideas with Endowment staff. Full large-scale proposals must be submitted by **December 15, 2020**. The Endowment expects grant announcements and payments relating to Phase 3 to be made by **June 30, 2021**.

Proposal Submission Procedures

Phase 1 planning grant proposal letters, Phase 2 implementation grant proposals, and Phase 3 large-scale concept papers must be submitted in electronic format. The Phase 2 proposals and Phase 3 concept papers must be transmitted with cover letters signed by the college or university president and the chair of the board of trustees indicating their endorsements of the proposals or concept papers. Each of these documents should be emailed as a PDF file to leieddiv@lei.org. The due dates for these proposals are listed below:

- Planning grants proposals: **Friday, November 22, 2019**
- Implementation grant proposals: **Tuesday, June 30, 2020**
- Large-scale concept papers: **Tuesday, August 14, 2020**

The Endowment expects to decide which colleges and universities to invite to submit Phase 3 large-scale full proposals in September 2020.

Convenings, Questions and Resources

The Endowment will host convenings and other opportunities for colleges and universities to ask questions of Endowment staff regarding CTF, share ideas with peers, and find potential areas of common interest. The first of these convenings will be held on **November 1, 2019**, and **November 4, 2019**, at Lilly Endowment, 2801 N. Meridian Street, Indianapolis, IN. Each Indiana college and university may send up to three representatives to one of these convenings. More information regarding these convenings will be forthcoming. Additional convenings will be planned in 2020.

Please direct any questions about CTF to Ted Maple, vice president for education, at leieddiv@lei.org.