

## **POLICY STATEMENT CONCERNING RESEARCH, SCHOLARSHIP AND CREATIVE ACTIVITY GRANTS**

### **FAM 036.4**

#### 1. Purpose and Scope

The purpose of these grants is to facilitate faculty in their research, scholarship, and creative activity which will ultimately lead to their professional growth, and to the enhancement of the student educational experience. Preference will be given to probationary tenure-track faculty and to proposals not previously funded but which show evidence of that initial preparation has already taken place. These grants are in the following categories:

##### a. Mini-grants (up to \$5,000)

The specific purpose of mini-grants is to provide "seed monies" to support new projects, or new phases of longer term projects that hold promise of extramural funding. Faculty submitting a mini-grant proposal must indicate the place of their project in their long-range research program. These grants may be used for support such as re-assigned time, student assistants, clerical help, duplicating, computer time, and supplies and services. In addition, mini-grants may be used to fund equipment and/or travel specifically related to the project.

##### b. Summer Research Fellowships.

Summer Research Fellowships are designed to provide faculty with financial support to start, continue or complete a substantial project of creative activity, scholarship or research, or an appropriate activity related to the faculty member's academic discipline. The Fellowship will allow faculty members to apply for either a stipend or research expenses (eg., supplies, travel, or student support). Examples of such a project are completion of a manuscript, specialized course work or training, an exhibition or a performance. Fellowship stipends will be fixed annually and may be supplemented by the Faculty Professional Development Coordinating Committee (FPDCC), the Associate Provost for Research, or the Provost.

##### c. Faculty Research Awards

Faculty Research Awards provide reassigned time to develop or complete a substantial project of creative scholarship or research, or an appropriate activity related to the faculty member's academic discipline such as completion of a manuscript, specialized course work or training, an exhibition or a performance.

The department/school in which the faculty resides will receive funding of two-course reassigned time at the internal rate. Faculty may take their Research Leave during any academic year quarter, excluding summer sessions; the specific quarter will be decided upon in consultation with the department chair/school director.

## 2. Funding

The term “college” shall be used to refer to an academic department/school or equivalent unit for the purpose of this policy. The two equivalent units shall be (a) counselors, i.e., SSP, ARs, and (b) librarians.

Total funds available for mini-grants are determined annually in accordance with allocations from the Chancellor's Office. Chancellor's Office funding for Research, Scholarship and Creative Activities is allocated to the three grant categories by the Faculty Professional Development Coordinating Committee (FPDCC). The available funds for mini-grants are assigned to the colleges based on the following formula:

$$\text{College Funds} = \text{Total number of dollars} \times \left( \frac{\text{FTEF in College} + \text{untenured, tenure-track faculty in College}}{\text{FTEF in University} + \text{untenured, tenure-track faculty in University}} \right)$$

FTEF = Full-Time Equivalent Faculty, tenured and tenure-track

The Office of Academic Research will distribute the funds to faculty based on the recommendations of the College Professional Awards Committees and Deans in accordance with FPDCC allocation guidelines.

## 3. Eligibility

All tenure-track or tenured faculty members are eligible. Faculty who are in the Faculty Early Retirement Program (FERP) are not eligible to receive these awards.

## 4. Application

4.1 Application and proposal description shall be made following the appropriate standardized format which is available from the Office of Academic Research. Only one completed application per grant category shall be submitted by an individual faculty member or principal investigator by the indicated deadline. Furthermore, applicants should avoid submitting the same proposal for funding in more than one of the categories unless it is clearly indicated the project necessitates dividing it into several parts. The request for multiple awards must be clearly justified. In the cases

of Faculty Research Awards or Summer Research Fellowships, only one individual or principal investigator per project may apply.

- 4.2 Prior Grant Activity: The proposal must include a list of all grants, internal and external, received in the last three years and proof of successful completion of each of these grant activities.
- 4.3 Proposals must clearly show the significance of the project in terms of both the professional development of the faculty member, and also the body of knowledge of the faculty member's academic discipline, teaching fields, or areas of library expertise.

## 5. Criteria for Evaluation

5.1 Proposals must clearly demonstrate quality in terms of the following:

- a) Clarity: The proposal must clearly and concisely describe the project as a whole using non-specialist language whenever possible.
- b) Objectives: The proposal must describe the objectives of the project and elaborate on the following: 1) the reasons for the applicant-undertaking the project; 2) the purpose of the particular project; 3) if appropriate, the specific research questions or hypotheses; and 4) the project's relation to the faculty member's present or future research or creative activity.
- c) Methods: The proposal must clearly describe the activities, including methods and procedures, which will be conducted and must clearly show that these are designed to meet the stated objectives.
- d) Feasibility: The proposal must present an organized plan of action which demonstrates that the project is feasible. When appropriate, a budget (see section 5.2) shall be included to demonstrate that the project can be conducted in a manner that utilizes effectively the resources requested.
- e) Expected End Product: The proposal must elaborate on the expected end product of the project. This can include publications (i.e. books, monographs, articles or scholarly papers), creative activity (i.e. gallery showings, concerts or theatrical productions), and external grant proposals.

5.2 Proposals for Mini-Grants must clearly indicate that the budget requested is necessary. Itemized expenditures are required, with a justification

included for each item.

## 6. Approval and Awards Process

- 6.1 Proposals for these grants shall be called for by the Office of Academic Research in accordance with schedules established by this office.
- 6.2 The following special approvals may be required before submitting proposals:
  - 6.2.1 Proposals requiring the use of human subjects for research purposes shall be approved by the Institutional Review Board, should time permit, before they are submitted. Those still requiring I.R.B. approval after the grants evaluation shall not be finally released until after such review.
  - 6.2.2 Proposals requiring the use of animal subjects for research purposes shall be approved by the Institutional Animal Care and Use Committee (IACUC) before they are submitted.
  - 6.2.3 Proposals requesting reassigned time must have the signatures of the department chair/school director and college dean indicating that consultation has occurred.
- 6.3 Members of College Professional Awards Committees may not submit an application for a university award during the period of time they are serving on the committee.
- 6.4 All proposals received within the announced deadline schedule shall be distributed to the appropriate College Professional Awards Committee. The committee shall prepare a statement of merit for each proposal.
  - 6.4.1 Each Professional Awards Committee for the academic colleges shall consist of five faculty members from that college; no more than one per department/school in colleges where there are five or more departments/schools. If there are fewer than five departments/schools in that college, at least one member should come from each department/school. The Professional Awards Committees for the librarians and the counselors shall have three members. Members of each College Professional Awards Committee shall be bargaining-unit-three tenure-track faculty who will not apply for any grants during their time of service, elected by the faculty of the college under the supervision of the appropriate Constituent Unit Elections Officer. Committee members shall be elected to two-year staggered terms.
  - 6.4.2 Statements of merit shall be forwarded to the college office and to the respective faculty members.

- 6.4.3 A faculty member may choose to respond to the statement of merit within five working days. This response shall go to the college office.
- 6.5 The College Professional Awards Committee shall evaluate and rank all proposals by category and shall make recommendations for allocations. In making recommendations, the Committee, where appropriate, shall consider:
- a. The quality (clarity, objective, method) and feasibility of the proposed project.
  - b. Evidence of preparation or preplanning for the proposed project.
  - c. Whether or not proposals fulfill the purposes for which the specified grant category was designed.
  - d. The faculty member's prior record in the use of all grant awards in the past three years.
  - e. The amounts and appropriateness of the budget request.
- 6.6 Recommendations from the College Professional Awards Committee shall be forwarded to the Dean or University Librarian who may choose to make their own individual recommendations. All recommendations shall be forwarded to the Office of Academic Research, who will then make ranked recommendations to the Vice President for Academic Affairs/Provost. The Vice President for Academic Affairs/Provost will make the final decision.
- 6.7 After the process is completed, each applicant shall receive a copy of all material relating to his or her proposal, including the statement of recommendation. A copy shall also be retained in the office of the College Dean or University Librarian and in the Office of Academic Research.

## 7. Report

A report describing use of the award and the completed project shall be submitted by the award recipient to the Office of Academic Research by the deadline specified in the "call for proposals." The report should be an explicit narrative and shall contain supporting evidence when possible. A file of such reports shall be maintained in the Office of Academic Research. Failure to submit a timely final report will exclude faculty members' proposals for evaluation by the college Professional Awards Committee during subsequent award cycles. Further, as stipulated in Faculty Professional Development Program, such reports are required for review by an ad-hoc committee to determine future awards programmatic needs and to assess the quality of projects receiving awards.

8. Exception for College-Level Professional Development Resources and Support

The provisions contained herein do not apply to professional development resources and support provided by a college to its faculty from sources other than those provided by the Chancellor's Office. Colleges will develop their own criteria and procedures for awarding such college-level support and reporting such awards to college faculty.