

**POLICIES AND PROCEDURES
FOR AWARDING FACULTY RESEARCH GRANTS**

Faculty Research Grants are a mechanism to provide funds to support research and creative activities and are intended principally for the purchase of minor equipment and supplies, for graduate/student assistant salaries, and for travel to collect data. Faculty salaries are intended to compensate faculty members while they conduct intensive project activities during a summer term.

For purposes of this competition, **research** is defined as “a systematic study directed toward fuller scientific knowledge or understanding of the subject studied.”¹ **Creative activity** is defined as the preparation and execution of original works designed to advance artistic accomplishment, principally in art, music, theater, dance, and similar areas.

Deadlines for Submission of Proposals

Friday, January 30, 2009 - Project director(s) submit one complete copy to the appropriate academic department chair(s) and may submit a copy to the Office of Research and Sponsored Programs (ORSP) for review. (Note: No administrative signatures are required at this stage.)

Friday, February 13, 2009 - Chair submits one signed copy to ORSP and one signed copy to the dean, unless additional copies are required for college committee review. Project directors or chairs should contact their dean to determine how many copies are required.

Friday, March 13, 2009 - Dean submits 12 signed final copies to ORSP and keeps one copy for his/her file.

Eligibility and Conditions

1. Individuals with a full-time academic appointment in categories 1-5 of SFA policy E-1A are eligible to apply for a Faculty Research Grant (FRG). These are: professor, associate professor, assistant professor, instructor, and librarian I-IV.
2. A Faculty Research Grant will not be awarded for the purpose of obtaining an advanced academic degree. Faculty Research Grants are not intended to fund master's theses or dissertations. This does not preclude the use of Faculty Research Grant funds to hire graduate assistants to assist faculty members with their research or creative endeavors.
3. Except in extraordinary circumstances, an applicant is limited to one source of funding (Faculty Research Grant, Research Development Program grant, or Minigrants) in a single year. Furthermore, the recipient of a Faculty Research Grant in a given year is ineligible to apply for a new Faculty Research Grant the following year; however, in the first year of a fiscal biennium (odd-numbered application years), a project may be funded for two years in *extraordinary circumstances*.

NOTE: Because the spring 2009 competition is an odd-numbered application year, applicants who can demonstrate exceptional need may request funds for two full years of funding (from Sept. 1, 2009 through Aug. 31, 2011), but only one year of summer salary.

4. New researchers are encouraged to apply and may receive bonus points if they meet the criteria listed on page 4.

¹ From the Texas Higher Education Coordinating Board rules, Chapter 13. Financial Planning, Subchapter G. Research Development Fund

5. Faculty members who will be on sabbatical or faculty development leave during the term of the award are eligible for a Faculty Research Grant in support of their work if they do not have other financial support, but they are not eligible to receive summer salary.
6. Faculty Research Grants should be considered seed money and are not intended to support the continuation of research funded from external awards or continuation projects from internal awards (pre-existing awards with a continuing theme), including previous FRG awards. If applicable, a faculty member who has previously received an FRG should justify in the proposal why another FRG is warranted (rather than submitting an application for external funds). To be competitive, the research or creative activities should target a new and/or innovative area or propose innovative approaches to a problem.
7. For resubmission of a previously unsuccessful Faculty Research Grant application, a faculty member should describe clearly in an addendum to the proposal how the University Research Council's (URC, Council) comments from the previous competition were incorporated.
8. Faculty Research Grant funds may not be used to pay for research activities or equipment that have already been awarded grant funds through an external sponsor (i.e., they cannot be used to supplant). Faculty Research Grant funds may be used as matching funds for an external proposal as long as they are complementary to the Faculty Research Grant in question.
9. Researchers who have access to research funds from other sources are encouraged to exhaust all alternative funding pathways prior to applying for a Faculty Research Grant.
10. In the expenditure of Faculty Research Grant appropriations, a recipient is subject to all local, state, and federal fiscal regulations and SFA policies and procedures.
11. Research proposals selected for funding that involve the use of human subjects, laboratory animals, or hazardous materials must be accompanied by a memorandum of approval from the chair of the appropriate University committee prior to the assignment of an account number. These committees are: Institutional Review Board for the Protection of Human Subjects (IRB), Institutional Animal Care and Use Committee (IACUC), Environmental Safety and Health/Radiation Committee, Biosafety Committee, and Public Health Committee.
12. A Faculty Research Grant recipient must attend a brief orientation session with ORSP to review the terms of the grant and to provide an opportunity for the faculty member to ask questions about use of funds, grant accounts, and grant management.
13. A Faculty Research Grant recipient must provide progress and final reports about his/her project as required by the Office of Research and Sponsored Programs. The final report must consist of a 3-5 page (single or double-spaced) report that includes a description of project activities and outcomes for each project objective, as well as a 200-word abstract of the research findings or creative outcomes suitable for posting on the ORSP web site.
14. Any publication, presentation, or exhibition resulting from an FRG shall acknowledge that the project was conducted under an SFA Faculty Research Grant. Copies of publications, DVDs, or other appropriate media that constitute documentation of a published work or exhibition shall be filed by the project director with the Office of Research and Sponsored Programs and with the Steen Library.

Criteria for Evaluating Faculty Research Grant Proposals

The University Research Council will evaluate Faculty Research Grant proposals based on the criteria listed below. The written proposal should clearly meet the evaluation criteria to receive a competitive score. The faculty member may discuss his/her proposal and the evaluation criteria with a member of the Council before the written proposal is submitted to ORSP (final deadline), but not after.

A. Significance of the Proposal (30 points)

1. The proposed project should improve the applicant's knowledge and increase his/her ability to conduct more research in the area of interest or to create further artistic work in the area of interest.
2. The new knowledge gained from the project should be significant to the faculty member's academic discipline. The project should require the use of knowledge and skills usually possessed only by those having terminal degrees in the field.
3. The originality of the research or creative activity often determines its success and recognition. As a result, the project should possess unique characteristics in comparison to similar projects.
4. Once the project is completed, similar projects in the same discipline should follow. In some cases, it may be possible to obtain grant money from outside sources for further research. Such success enhances the University's prestige, provides a better learning environment for its students, and enables the University to better the community at large.
5. Applicants should show how they plan to disseminate the results of the FRG through presentations at professional meetings and/or publications in refereed journals. The project should be designed to lead to further study or an exhibition.

B. Proposed Approach (30 points)

1. The proposal should outline the objectives or specific aims, methodology, plan of operation/activities, expected outcomes, proposed evaluation, and plans for future dissemination.
2. The proposal should clearly describe the proposed procedures. The applicant should provide evidence that other professionals within the field will find the procedures acceptable.
3. The proposal's objectives should be clear, concise, and understandable to the Council members, who may not be specialists in the discipline.
4. The written proposal should follow the prescribed format as described in this document (see pages 7-13).
5. The applicant must demonstrate knowledge of research or knowledge of existing art/performances within the area of interest by discussing the research findings or works/performances of others who have made significant contributions in the area and cite any relevant literature or critical response.

C. Feasibility of the Proposal (20 points)

1. The proposal should clearly establish a feasible schedule for the proposed project.
2. The applicant should be able to conduct the project within the proposed time period.
3. The applicant should be able to complete the project with the funding requested.
4. The applicant should be able to complete the project with the available physical resources.

D. Applicant's Record (5 points)

1. The applicant should demonstrate his/her ability to carry out the proposed project; therefore, the applicant's previous success in research or creative activities should be presented clearly in the proposal.
2. In addition, the applicant should list any previous projects, including those supported by a Faculty Research Grant at SFA, in the vita along with any resulting presentations, publications, works, or performances.

E. Budget and Cost Effectiveness (15 points)

The applicant should request an adequate and relevant budget for the proposed project. See the section titled "Allocation of Faculty Research Grant Funds" for a discussion of allowable costs.

F. Bonus Points (up to 10)

The University encourages proposals from beginning researchers/artists and new faculty members, as well as new and innovative lines of inquiry from established faculty members.

- Five points will be added for the first FRG application ever submitted by a faculty member (as primary investigator).
- Five points will be added for a faculty member employed by the University in an FRG-eligible position less than five years, including those faculty members who have previously submitted an unsuccessful Faculty Research Grant application.

G. Recommendation

- Fund as submitted
- Fund with revisions
- Not recommended for funding, but has merit. Recommend resubmission with revisions in a future competition.
- Not recommended for funding

Methods of Evaluating Faculty Research Grant Proposals

Because grant proposals are often improved as a result of internal peer review, the University Research Council strongly recommends that departments and colleges establish peer review procedures. The procedures should be completed in time for the applicant to make revisions prior to the final deadline for proposal submission.

A. Discussion of the Proposals

1. In preparation for the first review meeting, Council members should read the proposals and prepare preliminary scores and a list of questions, as applicable. In this and at least two subsequent meetings, proposals will be discussed by the Council.
2. If, after preliminary discussion of a proposal, there are unresolved questions, a member of the Council may be assigned to contact the applicant. The Council member will contact the applicant and will obtain answers to the questions of the Council. As applicable, the Council will then briefly discuss the proposal again with input from the designated Council member.
3. Final scoring will be completed after Council discussions end.
4. After Council members have completed scoring the proposals, ORSP will compile the scores in the form of a table. The table will have a row for each proposal that lists the numerical scores received for each criterion. Totals, medians, and means will be calculated.

B. Ranking of Proposals

1. After the table of scores has been discussed, members of the Council will determine the rating cut-off for proposals to be funded and the amount of funding each proposal should receive. After discussion, the ten voting members of the Council will formulate a funding recommendation that will be adopted if a simple majority of the Council is in favor of the recommendation.
2. The Council chair will submit the Council's recommendations to the Provost/VPAA for approval.
3. Once funds are available, the Council chair will inform each applicant in writing of the Council's decision.
4. The Council chair will provide written comments obtained from Council members to each successful and unsuccessful applicant.

Allocation of Faculty Research Grant Funds

The number of Faculty Research Grant awards and the total amount of each award is dependent on the amount of funds available annually through the Research Enhancement Program.

Faculty Compensation

Long Semesters – Recipients are expected to commit a sufficient amount of time to their projects during the academic year to ensure successful outcomes as detailed in their grant applications. Extra compensation is not provided for this effort.

Summer Sessions – Summer salaries are provided for faculty members who request compensation for a summer term in their grant application. During the summer session for which they are being paid, faculty members are expected to commit 100% of their effort to the project.

It is expected that a faculty member will commit effort to the project (on campus and/or in the field collecting data) commensurate with the percentage of salary paid (e.g., 100% for 100%) during the summer session for which they are paid from a Faculty Research Grant.

In no case can the amount of remuneration exceed the contracted salary amount for a comparable period.

Other Allowable Costs

Additional funding may be awarded to a researcher for:

1. Wages for Graduate Research Assistants and undergraduate student assistants;
2. Equipment;
3. Expendable supplies;
4. Travel to collect data (travel to conferences is not allowed); and
5. Other expenses of operation and maintenance, provided that the requests are in keeping with existing local, state, and federal regulations and that they are itemized and justified in the grant application.

Note: At the conclusion of an award, all equipment, materials, and supplies purchased using FRG funds may continue to be used by the faculty member. Since these items belong to SFA, these items are to remain with the department of the faculty member in the event that the faculty member leaves the University.

Instructions for Preparing a Faculty Research Grant Proposal

Faculty Research Grant applicants may seek advice from University Research Council members or from the Office of Research and Sponsored Programs in preparing a proposal. It is strongly encouraged that advice be sought prior to the deadline for submitting a proposal to the applicant's academic departmental chair. The Office of Research and Sponsored Programs will notify applicants of deviations from the proposal guidelines as time allows up until the final deadline, but ultimate responsibility for adherence to guidelines rests with the applicant.

A proposal must be prepared according to the following instructions:

1. Type or word-process the proposal on 8½ x 11-inch white paper. Use one-inch margins on all sides. The print must be clear and legible and no more than 15 characters per inch (e.g., Times Roman 12 or Arial 11).
2. The proposal should outline the proposed approach to the problem. Place the proposal sections in the following order:
 - Cover page (complete the separate form)
 - Line item budget justification
 - Abstract
 - Narrative (including objectives or specific aims, literature review, project justification, methodology or procedures/plan of operation/activities, work schedule, expected outcomes, proposed evaluation, and plans for dissemination)
 - Bibliography/references
 - Appendices (if any) - For resubmissions include a description of how reviewer comments were addressed
 - Vita for each investigator
3. The line item budget justification does not have a page limit and may be single- or double-spaced.
4. The abstract, which precedes the narrative section, is a brief yet thorough explanation of the proposed project. The abstract may be single- or double-spaced and should not exceed 200 words.
5. Page numbering should begin with the narrative section. Pages should be numbered at the top right or bottom center of each page.
6. The narrative section must be double-spaced. The proposal narrative is limited to 10 double-spaced, one-sided pages. The narrative does not include the cover page, line item budget justification, abstract, bibliography/references, appendices, and vita.
7. A work schedule must be included in the narrative section of the proposal. The work schedule may be single-spaced, with double spacing between the dates. See examples at the end of this section.
8. The bibliography/references, appendices, and vita may be single-spaced. The vita is limited to 2 one-sided pages; there are no page limits for references and appendices.
9. Compile the pages into complete sets, including all attachments, and staple each set in the upper left-hand corner. Please use no other bindings, folders, or covers.

- 10. Please note that the original and the photocopies of your proposal must be prepared at individual or departmental expense.
- 11. Your department chair will review the proposal, retaining a copy for his/her files, and provide you with any comments or recommendation he/she wishes to make. You may also submit a copy to ORSP staff for review and comment. At this point, you may incorporate any feedback you receive.

The chair will then forward one signed copy to ORSP and one signed copy to your dean by the stated deadline, with any additional copies required for college committee review. You or your chair should contact the dean to determine the number of copies required.

Then, the dean of your college (and college advisory committee, if any) will review the proposal and may provide you with comments or suggestions to incorporate into your proposal. The dean will retain one copy for his/her files and submit 12 copies, with the incorporated comments or recommendations, to the Office of Research and Sponsored Programs. *Please note the deadlines for these steps on page 1.*

- 12. Revisions to the proposal, based on comments from your department chair, dean, ORSP, or college advisory committee, may be made up until the final submission date of proposals to the Office of Research and Sponsored Programs.
- 13. Please note that the University Research Council may choose not to review a proposal that does not meet the specifications stated above.

Sample Work Schedule I

2004-2005 Activities	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Hire Graduate Assistant/Secure new measuring equipment	█											
Contact School District to schedule sampling times		█										
Secure protocol agreement forms					█							
Conduct sampling						█						
Data analysis											█	█

Sample Work Schedule II

February 2005	Prepare and photocopy questionnaire Mail questionnaire
April 2005	Follow-up on non-respondents
June-July 2005	Enter responses for analysis
July-August 2005	Analyze data
September 2005	Prepare articles Submit final report Present at NCDC regional meeting Present at MUMBR national meeting

Cover Page and Budget Justification Instructions

You may obtain the cover page from ORSP or from ORSP's Web site:
<http://www.sfasu.edu/orsp/Internal/frg.html>. If you have any questions, call extension 6606.

Proposal Title: Enter the title of your Faculty Research Grant proposal.

Applicant Name: Enter your name (investigator) in the first column. Enter the name of the co-investigator, if applicable, in the second column.

Department: Enter the name of the academic department or office of the investigator in the first column. Enter the academic department or office of the co-investigator, if applicable, in the second column.

Time per Week on Project - Long Terms: Enter the number of hours per week that the investigator, and co-investigator if applicable, will spend working on the project during the long semesters. Specify by semester. Example: 4 hrs/wk in fall and spring.

Summer Remuneration Period: Each participating faculty member may request remuneration for up to 100% of one summer session or may elect to receive no summer compensation from the project. You should select SS1, SS2, or None to indicate the time period for which you are seeking remuneration for project activities. SS1 refers to Summer Session I; SS2 refers to Summer Session II.

If both the principal investigator and the co-investigator request remuneration, explain in your line item budget justification why salary is required for both investigators. Also, indicate the percentage of time during a summer session for which you would like to be reimbursed (e.g., 25%, 50%, or 100%).

It is expected that a faculty member will commit effort to the project (on campus and/or in the field collecting data) commensurate with the percentage of salary paid (e.g., 100% for 100%) during the summer session for which they are paid from a Faculty Research Grant.

Indicate if You Have Received a Faculty Research Grant Before: Indicate each fiscal year for which you have been awarded a Faculty Research Grant. For example, if you were awarded a Faculty Research Grant for the period of September 1, 2004 – August 31, 2005, select "2005." If you have not received a Faculty Research Grant for the years listed, do not mark any item.

Resubmissions: Indicate if this is a resubmission and that you have incorporated previous URC review comments.

New Investigators: Indicate if you have been in an FRG-eligible position (professor, associate professor, assistant professor, instructor, or librarian) for less than five years. Indicate if you have never applied for an FRG before as lead investigator or are resubmitting an FRG proposal.

Signatures: Sign and date the cover page. If the proposal has an investigator and a co-investigator, both persons must sign and date the cover page. The chair and dean for the investigator and co-investigator must also sign the cover page.

Budget Summary and Justification

Two-Year Request: Check the box if you are applying for a two-year project. On the cover page, include the total request for both years. In the budget justification, provide separate figures and justifications for each year of the project.

Investigator's Salary: This item should be left blank. Explain your request in the line item budget justification. You do not need to calculate an actual salary amount. Your salary will be calculated based upon the amount and percent of time the Council approves. For two-year projects, only one summer salary is allowed. If applicable, indicate which year you are requesting summer compensation. *A salary cap may be imposed by the Council.*

Graduate Assistant: Enter the amount of your request for a graduate assistant, if any. In your line item budget justification, indicate the number of months and percent time the graduate assistant will devote to the project (if paid by the hour, the number of hours and rate of pay). The amount you request should be consistent with the assistantship amounts for other students in your department and should reflect the amount of time the graduate student is actually needed for the project. The current minimum full-time assistantship amount for nine months is \$9,225, or \$1,025/month. Outline the assistant's responsibilities in the budget justification.

Student Assistant: Enter the amount of your request for an undergraduate student assistant, if any. In your line item budget justification, indicate the number of hours the student(s) will devote and the rate of pay. You must pay at least minimum wage (\$7.25/hour in FY10). The pay rate you request should be reasonable in relation to the level of work the student will be performing. Significantly higher rates will require justification prior to posting the position through Student Employment. Outline the student's responsibilities in the budget justification.

Other Salaries: Enter the amount of your request for non-student salaries (e.g., transcriptionist), if any, to be paid through your project. In your line item budget justification, indicate the number of hours and rate of pay. Also, explain your request in the justification and indicate why students are not being hired to complete the tasks.

Operating Supplies: <\$500/each item: Enter the amount of your request for operating supplies, if any. Operating supplies include costs for photocopies, postage, long distance calls, lab supplies, microfilm, etc. Remember to include an estimate of shipping and handling costs for supplies you would have to order.

Travel to Collect Data: Enter the total amount of your request for travel to collect data. Do not request travel to present research findings, which may be funded in part through a minigrant the following year. Consult the SFA Travel Office for information on meal, lodging, and mileage calculation rates (<http://www.sfasu.edu/controller/travel>). Other travel expenses include airfare, parking, and rental car fees.

Purchases > \$500 each item: Enter the total amount of items costing more than \$500 each as well as any shipping and handling costs. Explain in the line item budget justification what each item is, its cost, and why the item is necessary for your project.

Other: Enter the total amount for all other costs you are requesting through the grant, if any. Explain in the line item budget justification what you are requesting, the cost, and the purpose of your request.

TOTAL: If you complete the form electronically, your total budget request will be calculated for you. Otherwise, ensure the line items in the Budget Summary section equal your total. Please leave the "Recommended by Council" column of the Budget Summary section blank.

Faculty Research Grant Applications**Order of Contents:**

1. Cover page (standard format)
2. Budget justification
3. Abstract
4. Narrative (limited to 10 pages)
 - objectives or specific aims
 - literature review
 - project justification
 - methodology or procedures/plan of operation/activities
 - work schedule
 - expected outcomes
 - proposed evaluation
 - plans for dissemination
5. Bibliography/references
6. Appendices (if any) - For resubmissions, include a description of how reviewer comments were addressed.
7. Vita for PI
8. Vita for Co-PI, if applicable

**University Research Council
2009-2010 Competition**

Box	Phone	Member	College	Ends	Selection
13024	6606	Carrie Brown	Chair		
13044	3001	Dan Bruton	Sciences & Math.	2011	Elected
13043	4804	Scott LaGraff	Fine Arts	2009	Appointed*
6109	3301	David Kulhavy	Forestry & Ag	2010	Appointed
13015	3503	DawnElla Rust	Education	2011	Appointed
13063	2508	Charlotte Allen	Business	2009	Elected
13018	2908	Patrick Jenlink	Education	2010	Elected
6104	5105	Freddie Avant	Liberal / Applied Arts	2009	Elected
6109	3301	Brian Oswald	Forestry	2009	Elected
13055	15905	Rachel Galan	Library	2010	Appointed
13003	3601	Josephine Taylor	Sciences & Math.	2011	Appointed
13024	6606	Susan McDaniel	ORSP		<i>ex officio</i>

*Appointed to fill an elected position.

CHECKLIST

- All required sections are in the correct order
1. Cover page
 2. Budget justification
 3. Abstract
 4. Narrative
 - objectives or specific aims
 - literature review
 - project justification
 - methodology or procedures/plan of operation/activities
 - work schedule
 - expected outcomes
 - proposed evaluation
 - plans for dissemination
 5. Bibliography/references
 6. Appendices (if any) - for resubmissions include a description of how reviewer comments were addressed
 7. Vita for PI
 8. Vita for Co-PI, if applicable
- 8 1/2 x 11 white paper Clear and legible print 1-inch margins on all sides
- No more than 15 characters per inch

Cover Page

- All sections completed (check Items 4 and 5 closely)
- Budget adds up

Abstract

- no more than 200 words (approx. 15 words/line, or 13 lines)**

Page Numbering

- begins with narrative section
- placed at top right or bottom center of pages

Narrative Section

- double spaced (work schedule may be single, but double between dates)
- no more than 10 one-sided pages

Vita

- no more than 2 one-sided pages
- Final reports completed for previous FRG and/or minigrants