

# College of Arts and Sciences

## Research Grant Application Form

Title of Project \_\_\_\_\_

Applicant Name, Title \_\_\_\_\_

Department \_\_\_\_\_

Date of Application \_\_\_\_\_

This is an application for:  Itemized Grant

Block Grant

This application is for the amount of \$ \_\_\_\_\_

### Previous CAS Awards

Year	Amount	Progress Report	Final Report
		____ submitted	____ submitted
		____ submitted	____ submitted
		____ submitted	____ submitted
		____ submitted	____ submitted

Signature \_\_\_\_\_  
*Applicant* *department chair*

# College of Arts and Sciences

## Guidelines for Research Grant Applications

### General Guidelines:

1. Research shall be creative and original.
2. The committee shall prefer proposals leading to publication or public presentation.
3. Research shall be conducted by members of the faculty who are more than half time with the College of Arts and Sciences.
4. The applicant shall not be working on a degree or equivalent program.
5. No funds shall be expended on equipment or materials used *primarily* for teaching purposes.
6. If the grant recipient later receives financial remuneration for this specific project, the CAS is to be reimbursed for the original grant, according to remuneration received.
7. Funds requested should be primarily for the researcher's travel, equipment, supplies, and related research expenses not normally available within departments. Two types of research grants are available: a) itemized grants, and b) block grants. Applicants may not combine block grant requests with itemized requests--that is, applications will be *for either* itemized expenses or block funds.
  - a. funding for itemized grants may include the following:
    - i. durable equipment (computers, microscopes, cameras, etc.)
    - ii. non-durable supplies (paints, serums, computer disks, chemicals, gloves, photocopying, etc.)
    - iii. payment to research subjects/participants
    - iv. payment to research assistants (activities include database searches, secretarial support, running of experiments, etc.)
    - v. payment for travel and/or living expenses necessary for research
  - b. funding for block grants does not require itemization of a research budget, but will require accountability for time spent and work planned/done; applicants are reminded that block grant funds are subject to federal and state income tax
    - i. 15% of each year's budget will be allocated for block grants; these monies may be re-allocated to other (itemized) research proposals if applications for block grants are not received or are not deemed worthy of support
    - ii. inclusion of block grants for funding will occur for a two-year trial period, after which time such inclusion shall be reviewed by the CAS Research Committee
8. Equitability amongst disciplines shall be assured in the following ways:

- a. The prior productivity of applicants shall be taken into account when grant applications are evaluated. Productivity shall include the following (for a more detailed listing, see the CAS Tenure Guidelines document *section 1. 1. 5*):
    - i. publications in scholarly journals (taking into account level of competition and average publication rate within the particular discipline); scholarly books/chapters
    - ii. presentations made at professional conferences
    - iii. public exhibitions or performances of art works
  - b. Applicants may receive funding from the CAS two (2) times prior to demonstrating their efforts to obtain funding from outside sources. Prior to the third CAS funding, applicant must demonstrate that she/he has applied for external funding. (Note that subsequent CAS funding is not contingent upon applicant *receiving* outside funding, but rather on effort to obtain such. In addition, the committee recognizes that availability of external funding and competition for funds varies by discipline; therefore, unsuccessful attempts to obtain such funding shall not count *against* an applicant when applying for CAS funding.)
9. Funds are for the project itself and not for getting the project published or performed. Publication page charges should not be included in the budget, nor should the cost of acquiring graphics or illustrations.
  10. The current upper limit per research grant shall be \$3,000. Applications which exceed this upper limit will be returned to applicant for revision.
  11. No funds shall be available for convention travel.
  12. No funds shall be awarded retroactively.

### **Application Procedure**

1. The application shall be submitted to (*and received by*) the Dean's office on or before the announced deadline.
2. No revisions shall be accepted after the application has been submitted. Faculty is encouraged to consult with their colleagues and members of the committee before the deadline.
3. The application shall be concise and written to be understood by committee members who are not experts in the applicant's discipline. It shall be not more than six (6) pages in length, and shall include the following sections:
  - a. **Introduction:** brief background information about the project, its significance, and its relationship to the applicant's discipline and current work.
  - b. **Hypothesis/Endpoint:** statement of the research hypothesis or a description of the finished product.
  - c. **Methods:** description of the methods to be employed to test stated hypothesis or to achieve desired endpoint. Include the techniques to be used, procedures to be followed, library or other resources to be used, projected use of time, etc.

- d. **Equipment/Funds:** description of equipment available for use on this project; other funds available for this project
- e. **Budget:** an itemized budget for the amount requested (*N/A for block grants*). Those applying for block grants should include here a more formal time-line than required in "c" above.
- f. **Collaborator(s):** description of the nature of any collaboration with co-researcher(s).
  
- g. **Ultimate Outcomes:** description of the ultimate goal of the project (Does it represent a pilot study which will be used to obtain external funding? Will it be published in a scholarly journal? Will it be performed or displayed in a particular venue? Will it be presented at a professional conference?)
- h. **Bibliography** (not included in 6-page limit).

**Evaluation Procedure:**

The CAS Faculty Research Committee will evaluate the application (see attached evaluation outline) and report a recommendation to the Dean's Office. Funding will originate from the Dean's Office, subject to budgetary constraints; recipients will be notified of their award and corresponding account numbers by the Dean's Office.

**Progress Report:**

The progress report shall be due *at the end of the calendar year* in which funding is received. That is, progress reports shall be *received* by the Dean's office on or before December 31st of the funding year. The purpose of the progress report is to inform the Dean and the CAS Faculty Research Committee of the applicant's progress toward the project's ultimate goals, and to aid the Dean and Committee in making decisions for the subsequent funding period. As such, the progress report is somewhat informal. Progress reports should include the following elements:

1. description of work performed to date
2. description of funds spent to date
3. statement of any difficulties encountered
4. progress toward ultimate goal as stated in grant application

**Formal Report:**

Within six (6) months of the *close of the funding period*, grant recipients shall submit a formal report to the CAS Dean's Office. That is, the report shall be *received* by the Dean's Office not later than December 31<sup>st</sup> of the year following the receipt of funds. The report is reviewed by the CAS Faculty Research Committee for possible comments to be sent to the faculty member and filed with the Dean's Office.

The report should be concise and should be written to be understood by committee members who are not experts in the discipline of the recipient. The report should contain the following:

1. **Introduction:** brief explanation of overall goal of the project

2. **Methods:** description of work completed and the steps, which were taken to accomplish the work (this will vary significantly by discipline)
3. **Status:** statement of the status of ultimate goal as stated in grant application
4. **Accountability:** description of money spent for itemized research grants this will include a listing of equipment purchased, subjects paid, etc.; for block grants this will include a listing of any materials purchased and a journal of time spent)
5. **Personal Reaction:** brief statement of personal feelings regarding the project for example, was it a satisfying experience? Were any unanticipated lessons learned? Did results inspire further work and new directions?

Recipients who do not fulfill these obligations (timely filing of progress report and formal report) shall be *ineligible* for future funding for a period of one year, starting on the day said progress report or formal report *is received by* the Dean.

### Grant Proposal Evaluation Outline

- |      |  |
|------|--|
| 5.0  | Exemplary project in design and execution; has potential to become a significant contribution to the field |
| 4.5  | Exemplary in either design or execution; well above average in remaining category                          |
| 4.0  | Substantial contribution balanced in design and execution; not expected to be a classic                    |
| 3.5  | Substantial contribution; some flaws are evident, none crippling   |
|      |  |
| 3.0a | Significant strengths in design; significant weakness in execution   |
| 3.0b | Average in design and execution  |
| 2.0a | Significant unrealized potential; at least a second rank project if competently revised                    |
|      |  |
| 2.0b | Major flaws in either design or execution; only average in remaining category; not worth revision          |
| 1.0a | Some unrealized potential, but a third rank project at best (if revised)                                   |
| 1.0b | Unsalvageable in both design and execution   |

**Notes:**

**First-rank project:** potential for a significant contribution to the field

**Second-rank project:** potential for significant contribution to scholarship

As already noted, projects in the second category 3 are borderline. Funding will depend on money available and the quality of remaining applications. Projects below 2.0a are not of a caliber that would warrant funding, but projects ranked 2.0a and above would all be worth revision in the opinion of the Faculty Research Committee (or, when the committee is individually ranking the applications, in the opinion of the reviewer.