

# University Research Grant Guidelines – 2007-08

## **General Provisions**

Guidelines are drawn from and are consistent with the stipulations in Sections 9.10 and 12.10.1 of the *Collective Bargaining Agreement between Connecticut State University and the American Association of University Professors*.

University research grant proposals are screened by a University Grants Committee comprised of 12 faculty members drawn equally from the four CSU universities and chaired by an ex-officio member of the Academic Affairs staff in the System Office.

Applicants for University Research Grants must remain on the faculty for the duration of the grant-supported activity. Faculty planning sabbatical leaves are eligible for a grant. However, faculty on unpaid leave are not eligible. Applicants to the program must be permanent, full-time faculty.

This guidelines document include: funding priorities, proposal guidelines and evaluation criteria; a calendar of contractually established dates for proposal submissions, committee recommendations, and award announcements; and an application cover sheet which should be attached to each application.

## **Priorities**

Quality proposals that enhance the educational mission, visibility, and research stature of Connecticut State University are sought. The CSU-AAUP contract specifies that funds will be used for “research grants”. For the purposes of this program a broad definition of research is adopted. Research is defined as any scholarship activity which results in one or more of the following: 1) the creation of new knowledge in a particular discipline, including making connections across traditional fields (i.e. multidisciplinary research); 2) the application of disciplinary/multidisciplinary knowledge, methodologies and/or insights to problems of individuals or groups in the broader society; 3) the production of creative works in the arts; and 4) research in student learning for a particular discipline or area of learning. Curriculum development and faculty development projects will not be funded by the CSU-AAUP University Research Grants program; projects in these areas are best suited for programs supported under sections 9.6 and 10.6.5 of the CSU-AAUP contract.

In addition, proposals to this program should respond to one or more of the following:

1. Encourage the establishment of new research as defined above
2. Assist faculty to continue and/or complete meritorious research or creative projects
3. Encourage projects with potential for future external funding

## **Criteria**

The Committee will use the following criteria to rate the quality and completeness of proposals:

1. Significance: Evidence of a well-focused and worthy purpose, presented in relationship to previous related scholarship.
2. Workplan: An appropriate and feasible methodology as well as a plan of action or set of conditions that will result in the accomplishment of the objectives of the project in the context of the particular area of research. The work plan should be appropriate to the area of research of the proposal. If funds are being requested to purchase equipment, the proposal should describe the specific activities for which the equipment is needed (grants involving the purchase of equipment should justify such purchase on the basis of the research to be conducted by the author(s) within the grant period).
3. Outcomes and Reporting: Likelihood of significant outcome, such as publication (e.g. providing name of refereed journal), conference presentation, performance, exhibition, or other means of

dissemination of research results. Submission of a proposal to an external agency for funding is a legitimate, and encouraged, outcome. Applicants should be aware that a final report highlighting the scholarly accomplishments is due 90 days after the completion of any funded project. Reports of joint projects should reflect the contributions of individual participating faculty.

4. Budget Proposal: Inclusion of a realistic budget that is clearly stated, justified and consistent with points 1 - 3 above.

## **Review of the Proposals by the University Grants Committee**

For the purposes of grant proposal review, the Committee will divide into two groups of readers each of which will be responsible for reviewing proposals from two universities other than their own. The reviewers from Central and Eastern will be responsible for rating proposals submitted by Southern and Western faculty members while the readers from Southern and Western will be responsible for rating proposals submitted by Central and Eastern faculty members. Each of these two groups will further divide into three panels representing the broad-based disciplinary areas to which proposals are to be submitted – Fine Arts/Humanities; Social Science, Business and Education; and Life and Physical Sciences, Mathematics, Computer Science, and Engineering Technology.

## **Scoring**

Each proposal will be read by three reviewers drawn from the discipline areas just described. Each reviewer will be asked to assign a score from "1" for weak to "5" for excellent in each of the criteria listed above. The scores generated by this rating from the three readers should produce a total proposal score ranging from a low of 12 to a high of 60. The scores will assist in determining which proposals are funded and their level of funding.

## **Proposals**

A grant proposal must contain the following components and adhere to the following rules:

1. **Cover Sheet Abstract and Sign Off:**

Please use the exact format provided on Appendix A.1.

2. **Proposal Narrative:**

The narrative should respond to, and be organized using, the headings delineated in the "Criteria" section on page 1 (i.e. Significance, Workplan, and Outcomes and Reporting). The narrative should be limited to 1200 words fitting up to five double-spaced pages of printed text (see numeral 8. below for added space in joint proposals). Optional Appendices may be attached at the writer's discretion and should be labeled Appendix B, C, etc. Optional appendices will not be scored and reviewers will be free to judge their relevance in support of the main narrative.

Proposals will likely be scored by faculty who are not necessarily discipline specialists, although they will be individuals who work in the broad disciplinary area to which the proposal was submitted. Therefore, proposals should be written for an informed generalist while still giving enough specific information on the significance of the research and the soundness of the methodology to allow a reasonable review. A brief review of related research undertaken by the applicant and/or others will help the Committee understand the significance of your project. A creative arts proposal should contain a description of the work to be produced, materials and facilities to be used, personnel, and production requirements. All travel must be justified. Where foreign travel is proposed, the proposer must have ascertained that collections/resources needed for the work are not available in the United States and indicate so in the proposal.

Important Requirement: Proposals requesting support to continue work that was previously funded by this program must include a Report on Previous CSU/AAUP-Funded Research as outlined in

Appendix A.2. This summary should include compelling evidence of the impact of the research conducted such as publications in peer reviewed journals, securing of external funding for the expansion/continuation of the work, presentations at professional conferences, performances or exhibits, book publications, etc. The Report on Previous Related CSU/AAUP-Funded Research in Appendix A.2 should be no more than one page and should be placed immediately following the narrative section. It does not count as part of the five-page limit on the proposal narrative.

**3. Budget Proposal:**

Please use format and instructions provided in Appendix A.3. Awards are limited to \$5,000 per faculty member. The budget must justify and show the relationship of budget items to proposed activities. Legitimate budget items include: faculty stipend, support services, supplies and equipment, and travel. If a stipend for the applicant is part of the budget, the contractual limit of \$2,500 per applicant for the stipend includes the total of salary and normal fringe payments (before tax withholding) as needed. Stipend payments to AAUP members or to CSU students will be administered through University payroll procedures. All budget figures must be rounded off to whole dollar amounts.

**4. Two-Page Curriculum Vita(e):**

Please include brief vita(e) of no more than two pages highlighting your educational background, professional experiences, and scholarly accomplishments. Curriculum Vita(e) in excess of the two-page limit per faculty will be disregarded.

**5. Human Subjects and Vertebrate Animals:**

If your research involves either human subjects or the use of vertebrate animals, you must so indicate on the proposal cover sheet. Once a project is funded, the awardee must seek approval from the Institutional Review Board (IRB) for human research subjects or the Institutional Animal Care and Use Committee (IACUC) for vertebrate animals. You should contact the appropriate committee on your campus for information on submission procedures and timing. In no case should work with human beings or vertebrate animals as research subjects be undertaken until the proper approval is obtained. The review of the proposal will include notification to the universities regarding the need for compliance according to the procedures mandated by the IRB or IACUC. Failure to obtain the proper approval may result in the termination of your award and the recovery of any funds awarded for research expenses including stipends. Letters of approval from the IRB or IACUC must be attached to the final report.

**6. Number of Copies:**

Submit FIVE (5) COPIES of the proposal no later than Thursday February 1, 2007 at 5:00PM to the administrative representative listed below for your campus:

**CSU-AAUP Research Grant Contacts Collecting Applications**

<b>Univ.</b>	<b>Office/Dept.</b>	<b>Contact</b>	<b><u>E-Mail address</u></b>	<b><u>Phone #</u></b>
CCSU	Office of Sponsored Programs	Mimi Kaplan	<a href="mailto:kaplan@ccsu.edu">kaplan@ccsu.edu</a>	2-2366
ECSU	Academic Affairs	Dimitrios Pachis c/o Karen Ingalls	<a href="mailto:ingallsk@easternct.edu">ingallsk@easternct.edu</a>	5-5245
SCSU	Sponsored Programs and Research	Patricia Zibluck	<a href="mailto:zibluc@scsu.ctstateu.edu">zibluc@scsu.ctstateu.edu</a>	2-6801
WCSU	Grants Administration	Margaret Leahey	<a href="mailto:leaheym@wcsu.edu">leaheym@wcsu.edu</a>	7-8281

**7. Number of Proposals in Which a Given Faculty Participates:**

A given faculty may submit more than one proposal (individually or collaboratively), but the

combined funding request for a given faculty shall not exceed \$5,000 in a given year. The limit for the total in stipends for each faculty remains at \$2,500, regardless of the number of proposals in which the faculty member participates.

**8. Joint Proposal:**

A joint proposal may be submitted by two or more faculty members and may be funded for up to the limit of \$ 5,000 per faculty member participating in a single collaboration. The limit of \$2,500 for stipends for each faculty member participating is maintained (that is, although a joint proposal submitted by 2 faculty members may request up to \$10,000, each faculty member can only be allocated a maximum of \$2,500 for stipends in the budget.) Joint proposals should only involve faculty members from the same institution. As in section 7. above, in no case will a faculty member be allowed to submit proposals totaling more than the allowed \$5,000 funding limit, and \$2,500 stipend limit, regardless of the number of proposals in which that faculty member participates, individually or collaboratively. Submitting proposals totaling more than the stated limits is disallowed. A preliminary screening at the institution where the proposal is generated will disqualify it or require appropriate modifications to comply with these rules.

Joint proposals should specify the unique contributions and adequate level of work by each of the faculty members participating in the project. In order to accommodate this, the five-page proposal limit is increased by an additional page (representing up to 240 additional words of double-spaced printed text) per faculty member participating in the partnership.

**IMPORTANT NOTICES:**

- **PROPOSALS FAILING TO ADHERE TO ANY OF THE GUIDELINE ITEMS 1. TO 8. ABOVE WILL NOT BE REVIEWED. PROPOSALS CANNOT BE RETURNED TO APPLICANTS. FUNDED PROPOSALS MAY BE MADE AVAILABLE FOR EXAMINATION BY INTERESTED PARTIES.**

**2007-2008 Calendar**

**Thursday February 1, 2007 by 5:00 p.m.**

Deadline to submit FIVE (5) copies of the proposal to the representative from your institution listed above.

Note: No proposals will be accepted after this closing date and time.

**Thursday March 15, 2007 by 5:00 p.m.**

University Grants Committee makes its recommendations to the Chancellor of Connecticut State University. University Liaisons may notify applicants of the Committee's recommendations subject to Board of Trustees approval (see page 3, section 6 for a list of University Liaisons).

**Thursday April 5, 2007**

The Board of Trustees approves and announces grants to be awarded.

**Within three (3) months of the termination date of a grant --no later than Tuesday September 30, 2008**

The principal investigator(s) shall submit to the Committee (through the university Liaison) and the Academic Vice President at the appropriate University a report describing the results of the research and shall include a detailed accounting of the funds granted. Any funds unaccounted for shall be returned to the University.

## **APPENDIX A**

- A.1 COVER PAGE FORMAT
- A.2 FORMAT FOR REPORTING PREVIOUS CSU/AAUP-FUNDED RESEARCH
- A.3 BUDGET AND BUDGET JUSTIFICATION FORM
- A.4 PROPOSAL CHECKLIST

## Appendix A.1: 2007-2008 University Research Grant Proposal Cover Sheet

Faculty Rank of Principal Contact:

Last Name:

First Name:

Department:

Funding Request: \$

Is this a Joint Proposal?  Yes  No

If Yes, please fill in information for co-proposer(s) adding separate sheets as needed:

Name \_\_\_\_\_ Rank \_\_\_\_\_ Department \_\_\_\_\_

Name \_\_\_\_\_ Rank \_\_\_\_\_ Department \_\_\_\_\_

Is this a Continuation Project?  Yes  No

University:

E-mail of Principal Contact:

Phone Number of Principal Contact:

Campus Address of Principal Contact:

Please mark one research category that best fits this project:

Fine Arts and Humanities

Social Sciences, Business and Education

Life and Physical Sciences, Mathematics, Computer Science, Engineering and Technology

Project Title:

**ABSTRACT (Limit: 100 words)**

### IRB/IACUC Statement

(If "yes" to either question please see section 5 of "Proposals", p. 3.)

YES NO

Does your research involve human beings as research subjects?

Does your research involve vertebrate animals?

**Sign-Off Statement** (To be signed individually by every faculty applicant; **–please add separate sheets as needed**)

I hereby acknowledge my understanding that the lack of compliance with the format and terms required in the University Research Grant Guidelines – 2007-08 may result in the proposal being disqualified without review.

\_\_\_\_\_  
Signature of Permanent, Full-Time Faculty

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Permanent, Full-Time Faculty

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Permanent, Full-Time Faculty

\_\_\_\_\_  
Date

## **Appendix A.2: REPORT ON PREVIOUS CSU/AAUP-FUNDED RESEARCH**

Proposals for continuation of work that was funded by this program in previous years should provide a summary of accomplishments in this appendix (not to exceed 300 words). If you received a grant in the 2005-2006 year, please refer to the activities as an interim report. Please include compelling evidence of the impact of the research conducted, such as: publications in peer reviewed journals, securing of external funding for the expansion/continuation of the work, presentations at professional conferences, performances or exhibits, book publications, etc.

### Appendix A.3: BUDGET AND BUDGET JUSTIFICATION FORM

<b>Budget Item</b>	<b>Amount (Whole Dollars)</b>	<b>Brief Justification</b>
Faculty Stipend		
Support Services *		
Supplies and Equipment		
Travel		
<b>Total</b>		<b>N/A</b>

\* For definition see Section 9.4 of the CSU-AAUP Contract, 2002-2006

Note: This Budget Proposal Form enables you to very briefly describe proposed expenditures, their adequacy, and their appropriateness and importance. The “Amount” column delineates the requested amounts. The “Brief Justification “ column permits you to provide some detail for each cost, (e.g., cost of flights or per diem for travel, approximate number of hours and hourly rate for student assistants) and to indicate that the amount requested is sufficient to complete the proposed research. In the space below, you may use up to 100 words of text to spell out any additional justification you consider necessary to make a case for the proposed expenditures.

## Appendix A.4: PROPOSAL CHECKLIST

Before submitting your proposal, please use the following checklist to ensure you are including each of critical pieces of your application in the following order and within basic guidelines:

- 1. Cover Sheet
  - a. All the following boxes are marked appropriately
    - i. Is this a Joint Application?
    - ii. Is this a Continuation Project?
    - iii. What research category are you applying for?
    - iv. IRB/IACUS statement boxes
  - b. Abstract is 100 words or less
  - c. The form is signed and dated by each participating faculty member.
  
- 2. Narrative
  - a. The text is double-spaced
  - b. The narrative is no longer than 1200 words (for joint proposals, an additional 240 words is permitted per participating faculty member). The printed narrative should no be longer than 5 pages (for joint proposals an additional double-spaced page is permitted per participating faculty member).
  - c. The required headings are used to organize the narrative (Significance, Workplan, and Outcomes and Reporting)
  - d. Report on Previous Related CSU/AAUP-Funded Research Form immediately follows the narrative if this proposal is a continuation
  
- 3. Proposed Budget
  - a. Proposal Budget Form must be used
  
- 4. Curriculum vita(e)
  - a. Vita is no more than 2 pages per applicant.
  
- 5. Appendices (optional, please label Appendix B, C, etc. as needed)
  - a. All optional appendices you are including should follow the vita(e)
  
- 6. Five copies of the proposal are submitted by deadline in the appropriate office at your university.