

10.3 FACULTY RESEARCH AND SUPPORT FUNDS

APPROVED BY UNIVERSITY COUNCIL, SEPTEMBER 16, 2004

POLICY

1. PURPOSE AND FUNDING OVERVIEW

At the discretion of the Faculty Research and Support Funds Committee, FRSF funds will be used to support research, creative and scholarly professional development activities by the University of Houston-Clear Lake faculty. The average grant award has been approximately \$3,500 during the recent history of the FRSF fund. The maximum funding range is \$5,000-\$6,000.

2. ALLOWED AND UNALLOWED EXPENSES

- 2.1. Funds may be used to support research, creative and scholarly activities. Examples of allowable expenses include:
 - 2.1.1. Equipment, supplies, and materials necessary to support a particular research, creative or scholarly project
 - 2.1.2. Copyright permission expenses
 - 2.1.3. Subvention for scholarly works supported with appropriate documentation
 - 2.1.4. Student assistant, research associate and research assistant salaries.
 - 2.1.5. Fringe benefits associated with supported salaries, unless those benefits are paid by the state.
 - 2.1.6. Travel expenses only when essential to conduct offsite research, and when itemized in detail in the proposal budget
 - 2.1.7. Preparation of monographs, including textual and biographical research and/or annotation, and scholarly or critical books or studies, other than textbooks
 - 2.1.8. Page charges and/or reasonable reprint costs for articles in refereed journals
- 2.2. Certain expenses will not be supported by FRSF funds. These include but are not limited to:
 - 2.2.1. Travel to present at a conference
 - 2.2.2. Page charges for non-refereed journals

- 2.2.3. Reimbursement for publication costs already incurred
 - 2.2.4. Faculty course release and/or summer salary
 - 2.2.5. Costs associated with the completion of a doctoral dissertation or master's thesis
 - 2.2.6. Expenses associated with development of teaching materials or courses, including textbooks, classroom instructional materials and curriculum studies.
- 2.3. Requests for funding to conduct institutional surveys and/or studies will not be supported unless they are clearly and plausibly intended for dissemination to the appropriate academic discipline, e.g., as an article in a refereed journal.

3. ELIGIBILITY

The following criteria must be satisfied to be eligible for Faculty Research and Support Funds:

- 3.1. The applicant must be a full-time tenure-track faculty member.
- 3.2. Faculty members may only have one active FRSF award at a time. If a previous award has not been completed (via final project award) or is on a no-cost extension, it is an active award and the committee will not consider a new FRSF proposal from that faculty member.
- 3.3. If applicants are members of the FRSF Committee, they will recuse themselves and not participate in the discussion of proposals during that cycle. An alternate will be named as described in section 6, below.
- 3.4. Applicants must submit final reports from previously funded UH-Clear Lake faculty support programs. Optionally, reports may take the form of resulting articles, papers or grant applications.

4. PROPOSAL REQUIREMENTS AND FORMAT

- 4.1. When feasible, the following format should be used in submitting requests to the Faculty Research and Support Funds c/o the Office of Sponsored Programs, email address: sponsoredprograms@uhcl.edu.
- 4.2. Brevity will facilitate the review process. The project description may not exceed 10 double-spaced printed pages with 1" margins and font size 12 or larger.

- 4.3. Electronic submission of proposals is required. Other materials, e.g., reprints, which are not available in electronic format to be considered with the proposal must be provided to the Office of Sponsored Programs.
- 4.4. The CV/biosketch of faculty member(s) must be electronically attached.
- 4.5. Proposals must be submitted in the following standard sequence:
 - 4.5.1. Cover page on OSP-provided form, including:
 - a) Project title (brief but appropriately descriptive)
 - b) PI name, title, department, phone, and e-mail address
 - c) Total amount requested, in whole dollars
 - d) Abstract (150 words or less), presented in accessible language, that describes the overall purpose of the project
 - 4.5.2. Purpose and Objectives of Proposed Request - The benefits to be derived from the proposed request.
 - 4.5.3. Background and Hypothesis
 - a) Description of events leading up to the request.
 - b) For research projects, give a description of the current status of research projects and give a description of the current status of research in this field.
 - c) Include any preliminary work performed which led to this proposal.
 - 4.5.4. Significance of the Request - Potential importance of the proposed activities, outcomes to be produced and benefits to be derived.
 - 4.5.5. Procedures/General Work Plan/Methodology - Procedures to be followed in attaining the specific aim of the requests. A description of the specific nature of the proposed activity.
 - 4.5.6. Duration of Request/Time Frame - A detailed schedule for the proposed activity (not to exceed one year).
 - 4.5.7. Equipment/Facilities - Description of existing UHCL equipment and facilities available for the proposed project; and, justification of equipment/ facilities requested to be purchased in the budget.
 - 4.5.8. Dissemination/Use of Results and Project Sustainability – Describe plans for disseminating and using the outcome of the project. If applicable, describe the mechanisms for sustaining the project after the conclusion of the funding period, including identification of potential funding sources to continue and/or expand the project.
 - 4.5.9. Budget Summary - A detailed budget for the proposed activity.
 - 4.5.10. Budget Justification
 - a) Estimate travel cost for research to be conducted offsite.

- b) List each item of equipment, supplies, cost, and the relationship to the project.
- c) Estimate salary costs and fringe benefits and justify the employment of research assistants.

4.5.11. Cost Share Support from Program/College – Itemize budget items which will be supported by program or college. For such support, documentation from program or college must be provided.

4.5.12. Appended Materials - Names/vitae of all professional personnel who will work on the proposed request must be included as an appendix. Other appendices may be used to include supplemental information that supports the proposal, but has no logical place within the proposal narrative.

4.6. All proposals must have approval by the College's Dean. Forward proposal and CV/biosketch to the dean requesting an email recommendation of support be sent to the Office of Sponsored Programs via sponsoredprograms@uhcl.edu.

5. PROPOSAL REVIEW CRITERIA AND PROCESS

- 5.1. Priority for funding will be at the discretion of the FRSF Committee with consideration given to research, creative and scholarly activities (1) based on merit, (2) to generate additional external resources, and (3) not eligible for other existing funds within the university. Where merit of proposals is equal, preference will be given to proposals from those individuals seeking tenure and those who have not received FRSF funding in the previous twelve months.
- 5.2. Consideration will also be given to the scholarly productivity resulting from the applicant's FRSF awards in the preceding three years.
- 5.3. The following six major criteria will be considered in the evaluation of all projects, thus assuring all proposals are evaluated equitably and objectively.
 - 5.3.1. To what degree does the proposed project meet the stated purpose of the FRSF fund?
 - 5.3.2. How significant and timely is the request?
 - 5.3.3. To what degree might the proposed project contribute to the advancement of a discipline or its practical applications?
 - 5.3.4. To what degree are the proposed hypothesis, methodologies and plans clear and complete, with need for project and expected project impact clearly noted?

- 5.3.5. Does the applicant have an impactful plan for disseminating the research?
- 5.3.6. If applicable, does the applicant have a realistic plan for leveraging the funds into an external grant or contract?
- 5.4. Projects may also be evaluated based on their potential benefit to the university. Such benefits may include prospects for external research funding, beneficial student research participation or valuable additions to the university's research infrastructure.
- 5.5. Faculty Research and Support Funds will be distributed on an open competition basis. Funds remaining from one cycle will be carried forward to the next funding cycle. The FRSF Committee is responsible for best utilization of the available funds.
- 5.6. The Committee may choose to (a) fund the full proposal; (b) partially fund the proposal with recommended changes to the budget; or (c) decline the proposal. It may recommend that the faculty member revise and resubmit at the next funding cycle.
- 5.7. The recipient may request budget modifications during the term of the award. An email specifying the proposed changes is sent to the Office of Sponsored Programs for approval by the fiscal manager on behalf of the Committee.

6. COMMITTEE MEMBERSHIP

- 6.1. Voting members of the FRSF Committee will be a University committee consisting of eight elected faculty members, two from each college. The term for service shall be four years. Committee members will be elected with staggered appointments so that there will be four newly elected members, one from each college, every other year.
- 6.2. The Executive Director of the Office of Sponsored Programs serves as *ex-officio* chair and fiscal manager. The Executive Director of the Office of Sponsored Programs will serve as a voting representative only in the event of a tie.
- 6.3. In addition, each college will elect an alternate to serve during the funding cycle in which that college's representative submits a proposal to the committee for funding or is unable to be present at called meetings.
- 6.4. The Committee may call upon *ad hoc* reviewers for further evaluation of the technical aspects of proposals or may request the applicant to meet with them before recommending final action on the proposal.

7. REPORTS AND ACKNOWLEDGMENTS

- 7.1. Recipients of Faculty Research and Support Funds must submit a final report in electronic form to the Executive Director of the Office of Sponsored Programs 90 days after the project is completed or one year after the project is funded, whichever is sooner. This report may be brief, and it should summarize accomplishments of the project. The report may optionally take the form of a scholarly article, scholarly conference paper, or grant proposal connected with the FRSF project. The final report must be submitted before further FRSF funding will be considered.
- 7.2. The report should acknowledge that the project was funded by the Faculty Research and Support Funds.

8. POST AWARD INFORMATION

- 8.1. No-Cost Extensions: It is expected that the work be completed in the one-year award period. No-cost extensions will be made only for extenuating circumstances beyond the control of the awardee and if approved are generally no longer than one semester. Requests should be made as far in advance as possible. In the event that an extension is not approved, the applicant will forfeit funds remaining at the conclusion of the original award period. The Executive Director of the Office of Sponsored Programs is responsible for approving requests for no-cost extensions.
- 8.2. Recipients Leaving the University: If a recipient of the Faculty Research and Support Funds leaves the University before the project is completed, any remaining funds will be retained by the University.
- 8.3. University Property: Purchases of equipment, books, materials, etc., from the Faculty Research and Support Funds are properties of UH-Clear Lake and remain its property when recipients terminate their position with the University.
- 8.4. Royalties: Royalties will conform to UHS Intellectual Property policies.

9. APPLICATION DEADLINES

- 9.1. The deadlines for submitting applications are September 15 and March 15 by 5 p.m.
- 9.2. If the 15th falls on a weekend or a holiday, the deadline is the next working day.

- 9.3. Electronic submissions by applicant and approvals by each applicant's dean are due by 5 p.m. on the closing dates and will not be accepted after 5 p.m. on the closing dates.
- 9.4. No alterations, additions, or changes to proposals will be accepted after the noted closing dates; however, an applicant may withdraw a proposal at any time before a final decision is made.

10. COMPLIANCE REQUIREMENTS

- 10.1. Human Subjects: For projects involving human subjects, applicants must submit an application and secure approval for those projects from the Committee for the Protection of Human Subjects prior to the beginning of the project.
- 10.2. Vertebrate Animal Use: For projects involving vertebrate animals, applicants must submit a protocol and receive approval of the Institutional Animal Care and Use Committee (IACUC) prior to the beginning of the project.

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