Policy Statement Concerning Research, Scholarship and Creative Activity Grants

FAM 516

Faculty Affairs Committee
February 2004

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 proposals not previously funded but which show evidence of 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 student assistants, clerical help, duplicating, computer time, assigned 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 Fellowships (for one or two months).

Summer fellowships are designed to provide faculty with financial support to start, continue or complete a substantial project of creative scholarship or research, or an appropriate activity related to the faculty member's academic discipline. Examples of such a project are completion of a manuscript, specialized course work or training, an exhibition or a performance. Fellowship stipends will be equivalent to the faculty member's monthly salary (1/12 of annual salary) in effect at the close of the academic year. Faculty awarded a summer fellowship may accept no additional employment funded by the CSU or CSU auxiliaries during the specified month(s) of the summer fellowship (i.e., no summer session, extension, state supported grants, etc.).

c. Quarter Term Leaves with Pay

Quarter term leaves with pay are awarded 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.

Faculty receiving a quarter term leave shall be required to teach the equivalent of two quarters following the leave and shall be required to provide appropriate signed documentation that they will return for the specified amount of time.
2. **Funding**

The term “college” shall be used to refer to an academic department 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 these grants are determined annually in accordance with allocations from the Chancellor's Office. Chancellor's Office funding for Faculty Professional Development is allocated to the three grant categories by the Faculty Professional Development Coordinating Committee (FPDCC). The available funds are assigned to the colleges based on the following formula:

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\frac{(f+u) T}{(F+U)}
\]

Where "f"= FTEF in College, "u"= number of un-tenured faculty in Colleges, "F"= FTEF in University, "U"= number of un-tenured faculty in University and "T" = total number of dollars.

The College Professional Awards Committee will distribute the funds to faculty in accordance with FPDCC allocation guidelines.

3. **Eligibility**

Faculty members who are defined as members of Bargaining Unit 3 are eligible.

4. **Application**

Application and proposal description shall be made following the appropriate standardized format which is available from the college office or Office of Academic Personnel. 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 quarter-term leaves with pay or summer fellowships, only one individual or principal investigator per project may apply.

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's undertaking the project; 2) the purpose of the project; 3) the projected results of the project; 4) how the results fit the applicant's future
research plans; and 5) the project's relation to other activity being conducted by the faculty member.

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 shall be included to demonstrate that the project can be conducted in a manner that utilizes effectively the resources requested.

e) **Results:** The proposal must elaborate on the expected end product of the project. This can be results such as publications (i.e. books, monographs, articles or scholarly papers), creative activity (i.e. gallery showings, concerts or theatrical productions), and external grant proposals.

f) **Prior Grant Activity:** The proposal must include the faculty member's prior record in the use of grant awards in the three categories.

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

5.3 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.

6. **Approval and Awards Process**

6.1 Proposals for these grants shall be called for by the Office of Academic Personnel 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 assigned time must have the signatures of the department chair and college dean indicating that consultation has occurred.
Members of College Professional Awards Committees shall not apply for grants during the first year of their two year appointments. During the second year, if they choose to submit a proposal, they must first resign from the committee for the remainder of their term. Replacement appointments shall be made by the Faculty Senate Executive Committee. The Executive Committee shall give such replacement appointments high priority on its agenda.

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.

Each Professional Awards Committee for the academic colleges shall consist of five faculty members from that college; no more than one per department in colleges where there are five or more departments. If there are fewer than five departments in that college, at least one member should come from each department. 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.

Statements of merit shall be forwarded to the college office and to the respective faculty members.

A faculty member may choose to respond to the statement of merit within five working days. This response shall go to the college office.

The College Professional Awards Committee shall evaluate and rank all proposals by category and shall make recommendations for allocations. In making recommendations, the Committee shall consider:

- The quality (clarity, objective, method) and feasibility of the proposed project.
- Evidence of preparation or preplanning for the proposed project.
- Whether or not proposals fulfill the purposes for which the specified grant category was designed.
- The faculty member's prior record in the use of grant awards in the three categories.
- The amounts and appropriateness of the budget request.

Recommendations from the College Professional Awards Committee shall be forwarded to the Dean/University Librarian/ Vice President for Student Affairs who may choose to make their own individual recommendations. All recommendations
shall be forwarded to the Office of Academic Personnel. The final decision of the awards shall be made by the Provost and Vice President for Academic Affairs.

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/University Librarian/ Vice President for Student Affairs and in the Office of Academic Affairs.

7. Exclusions

Applicants for grants may not serve on their College Professional Awards Committee while those proposals are being evaluated. If vacancies occur because of an application, they shall be filled from the appropriate college by appointment of the College Dean/University Librarian/Vice President for Student Affairs in consultation with that Constituent Unit Elections Officer.

8. Report

A report describing use of the award and accomplishments shall be submitted to the Office of Academic Personnel and to the College Dean/University Librarian/Vice President for Student Affairs 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 the College Dean/University Librarian/Vice President for Student Affairs and the Office of Academic Personnel. 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 FAM 515, 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.

Justification:

1. Remaining occurrences of “school” were changed to “college.”

2. Revised Section 6.3 is designed to provide some continuity to the membership of Professional Awards Committees by requiring members to complete at least one full year of their two-year appointments. Many faculty are elected to these peer-reviewing committees in the spring and then resign at the first call for funds for Professional Development.

3. Section 6.3 further appropriately returns the selection of replacements for members resigning from Professional Awards Committees to the faculty. Past practice has been to permit the college Dean, often in conjunction with department chairs, to select alternatives. Original membership on the Professional Awards Committee requires nomination by faculty colleagues and an election by all faculty, due to the sensitive and collegial nature of the committee’s work: reviewing and recommending faculty proposals for funding. However, since the replacement election process is often slow, it is believed that the appropriate faculty body for selecting replacements is the Faculty Senate Executive Committee.