10.3 FACULTY RESEARCH AND SUPPORT FUNDS

APPROVED BY UNIVERSITY COUNCIL, SEPTEMBER 16, 2004

POLICY

1. PURPOSE

1.1 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.

2. EVALUATION CRITERIA

2.1 Priorities of 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 existing funds within the university. Where merit of proposals is equal, preference should be given to proposals from those individuals seeking tenure.

2.1.1 Examples of support are provided in Paragraph 2.3 below; however, this is not an exhaustive list of eligible activities. The burden will be on the applicant to demonstrate how the proposed project meets the stated objectives of the fund.

2.1.2 The Committee at its discretion may consider other categories of support as funding permits or may limit as financial circumstances dictate.

2.2 Consideration will also be given to the scholarly production which resulted from any FRSF awards and the applicant within the preceding three years.

2.3 Examples of support for research, creative and scholarly activities:

2.3.1 Equipment, supplies, and materials necessary to support a particular research, creative or scholarly project

2.3.2 Copyright permission expenses

2.3.3 Subvention for scholarly works supported with appropriate documentation
2.3.4 Student assistant, research associate and research assistant salaries and fringe (The State currently pays RA fringe.)

2.3.5 Travel expenses only when essential to conduct offsite research

2.3.6 Preparation of monographs, including textual and biographical research and/or annotation, and scholarly or critical books or studies, which are not textbooks

2.3.7 Faculty summer salary and applicable fringe (Depending on FRSF fiscal year budget allocations, funding may not be available for faculty salaries. Check with OSP.)

2.3.8 Page charges and/or reasonable reprint costs for articles in refereed journals

(See chart on pgs. 8-9 for current eligible / non-eligible funding.)

2.4 The following four major criteria or factors are considered in the evaluation of projects. These standards apply to all proposals, thus assuring all proposals are evaluated equitably and objectively.

2.4.1 To what degree does the proposed project meet the stated purpose of the FRSF fund?

2.4.2 How significant and timely is the request?

2.4.3 To what degree might the proposed project contribute to the advancement of a discipline or its practical applications?

2.4.4 To what degree are the proposed hypothesis, methodologies and plans clear and complete, with need for project and expected project impact clearly noted?

2.5 Projects that are judged to be sound based on the four criteria above may be granted additional funding priority based on potential benefits 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.

3. ELIGIBILITY

3.1 The following criteria must be satisfied to be eligible for Faculty Research and Support Funds:
3.1.1 The applicant must be a full-time faculty member.

3.1.2 If applicants are members of the FRSF Committee, they will recuse themselves and not participate in the discussion of their proposals.

3.1.3 Funds may not be used towards completion of a doctoral dissertation or master's thesis.

3.1.4 The applicant must show evidence of ability to successfully carry out the project.

3.1.5 The applicant must have the required professional qualifications and experience.

3.1.6 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. COMMITTEE MEMBERSHIP

4.1 Voting members of the FRSF Committee will be a University committee consisting of four elected faculty members, one from each school, and the Executive Director of the Office of Sponsored Programs who 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.

4.2 In addition, each school will appoint an alternate to serve during the funding cycle in which that school's representative submits a proposal to the committee for funding or is unable to be present at called meetings.

4.3 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.

5. REPORTS AND ACKNOWLEDGMENTS

5.1 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.**

5.2 The report should acknowledge that the project was funded by the Faculty Research and Support Funds.

6. **MISCELLANEOUS POST AWARD INFORMATION**

6.1 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.

6.2 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.

6.3 Royalties
Royalties will conform to UHS Intellectual Property policies.

**PROCEDURES**

1. **APPLICATION DEADLINES**

1.1 The deadlines for submitting applications for **FY17** and **FY18** funding cycles are 5 p.m. on the following days:

   **FY17:** September 15, 2016 (Thursday)
   **FY17:** March 15, 2017 (Wednesday)
   **FY18:** September 15, 2017 (Friday)
   **FY18:** March 15, 2018 (Thursday)

1.2 If the 15th falls on a weekend or on a holiday, the deadline is the next working day.

1.3 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.

1.4 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.
2. **RESTRICTIONS ON SUPPORT**

2.1 Only one proposal per funding cycle, per person will be considered. *(An awarded funding cycle is for a one year period. Only one active FRSF award is permitted at a time.)*

2.2 The preparation or writing of textbooks or other standard teaching materials is not eligible for funds.

2.3 Proposals for conducting institutional surveys and/or studies are not eligible unless they are clearly and plausibly intended for dissemination to the appropriate academic discipline, e.g., as an article in a refereed journal.

2.4 Page charges for non-refereed journals are not eligible.

2.5 Proposals for developing direct classroom-related instruction or preparing curriculum studies are not eligible.

2.6 Travel awards for attendance of professional meetings are not supported. Applicants should discuss this source of funding with their respective deans.

2.7 Human Subjects
For projects involving human subjects, applicants must submit applications and secure approval for those projects from the Committee for the Protection of Human Subjects prior to the beginning of the project.

2.8 Animal Use
Applicants must submit a protocol and receive approval of the Institutional Animal Care and Use Committee (IACUC) prior to the beginning of the project.

3. **PROPOSAL REQUIREMENTS AND FORMAT**

3.1 Whenever applicable, 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.

3.2 Brevity will facilitate the review process. The project description should not exceed 10 double-spaced printed pages.
3.3 Electronic submission of proposals is required. Other materials, e.g., reprints, that are not available in electronic format to be considered with the proposal must be provided to the Office of Sponsored Programs.

3.4 The curriculum vitae of faculty member(s) need to be electronically attached.

3.5 To facilitate the review, proposals should be presented in the following standard sequence:

3.5.1 **Title of Proposed Request** - Brief but properly descriptive.

3.5.2 **Abstract** - A brief clear statement, not to exceed 150 words, of the overall purpose of the request. The abstract must be presented in common language.

3.5.3 **Purpose and Objectives of Proposed Request** - The benefits to be derived from the proposed request.

3.5.4 **Background and Hypothesis**

3.5.4.1 Description of events leading up to the request.

3.5.4.2 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.

3.5.4.3 Include any preliminary work performed which led to this proposal.

3.5.5 **Significance of the Request** - Potential importance of the proposed activities, outcomes to be produced and benefits to be derived.

3.5.6 **Dissemination/Use of Results** - Discuss plans for disseminating and using the outcome of the project.

3.5.7 **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.

3.5.8 **Duration of Request/Time Frame** - A detailed schedule for the proposed activity (not to exceed one year).
3.5.9 **Equipment/Facilities** - Description of the equipment and facilities available for the proposed project; justification of equipment/ facilities requested in the budget.

3.5.10 **Budget Summary** - A detailed budget for the proposed activity. *(See chart on pgs. 8-9 for eligible/non-eligible funding.)*

3.5.11 **Budget Justification**

3.5.11.1 Estimate travel cost for research to be conducted offsite.

3.5.11.2 List each item of equipment, cost, and the relationship to the project.

3.5.11.3 Estimate salary costs and fringe benefits and justify the expenditure of summer salaries or the employment of research assistants.

3.5.12 **Cost Share Support from Program/School** – Itemize budget items which will be supported by program or school. For such support, documentation from program or school must be provided.

3.5.13 **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.

3.6 **Dean’s Approval** – All proposals must have approval by the School’s Dean. Forward proposal and vita to the dean requesting an email recommendation of support be sent to the Office of Sponsored Programs via sponsoredprograms@uhcl.edu.

4. **REVIEW AND FUNDING**

4.1 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.

4.2 The Committee will (a) fund the full proposal; (b) partially fund the proposal; or (c) decline the proposal. It may recommend that the faculty member revise and resubmit at the next funding cycle.
4.3 Budget Modification

4.3.1 The Committee may recommend changes in the proposed budget.

4.3.2 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.

4.4 Miscellaneous Information

The average grant award has been approximately $3,500 during the recent history of the FRSF fund. Maximum funding range is $5,000-$6,000.

Additional FRSF Guidelines to Funding

Please note the following chart that describes what types of activities and items will be considered for funding by FRSF and which ones are not eligible for FRSF funding.

<table>
<thead>
<tr>
<th>ELIGIBLE for FRSF Funding</th>
<th>NOT ELIGIBLE for FRSF Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Assistant salary if number of hours to be worked, for how many weeks/months, at what salary, and what the RA will do, are included in the proposal.</td>
<td>Research Assistant salary for which there is no explanation as to number of hours, for how long, at what salary or as to what the RA will do</td>
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<tr>
<td>RA fringes are currently funded by the State, thus, do not include in budget request.</td>
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<tr>
<td>Travel for research purposes if research can ONLY be conducted at the proposed research site and not anywhere else</td>
<td>Travel to present at a conference</td>
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<tr>
<td>• Travel budgets must reflect Texas or GSA approved rates (i.e., in terms of per diem, lodging, etc.).</td>
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<tr>
<td>• *Attach State of Texas or US General Services Adm. (GSA) approved meal/lodging per diem rate for proposed destination.</td>
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<tr>
<td>*UHCL Travel Office</td>
<td></td>
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<tr>
<td>Publication costs that are requested ahead of being spent</td>
<td>Reimbursement for publication costs already incurred</td>
</tr>
<tr>
<td>Supplies/equipment for which a justification related to the proposed research is provided</td>
<td>Faculty summer salaries</td>
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