

CSU - AAUP Research Grants - Guidelines for the Spring 2012 Competition (Project Performance Period July 1, 2012 to June 30, 2013)

General Provisions

These Guidelines are drawn from, and are consistent with, the stipulations in Sections 9.10 and 12.10.1 of the document “*Collective Bargaining Agreement between Connecticut State University, American Association of University Professors and Board of Trustees for Connecticut State University System, August 25, 2007 – August 25, 2011*”.¹

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

Applicants for University Research Grants must be tenure-track, full-time members of the faculty and must remain on the faculty of the university originating the proposal for the duration of the grant-supported activity, including the project reporting phase. Faculty planning sabbatical leaves are eligible for a grant. Faculty on unpaid leave are not eligible to apply.

These guidelines detail the following: funding priorities, instructions for proposal preparation and submission, proposal review criteria, calendar for proposal submission, review process and announcement of awards (consistent with contractually established schedules), cover sheet to be attached to each proposal.

Priorities

The program seeks quality proposals that enhance the educational mission, visibility, and research stature of the Connecticut State University System institutions. 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 within a 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 those areas are best suited for programs supported under sections 9.6 and 10.6.5 of the CSU-AAUP contract.

In addition, proposals submitted to this University Research Grants program should take into account one or more of the following aspects of faculty research:

1. Establish new research (in the broad definition of the previous paragraph) at the university
2. Support faculty in the continuation and completion of meritorious research
3. Encourage the development of projects with potential for external funding

Review Criteria

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

1. **Significance:** Presentation of a well-focused and worthy purpose in the context of previous research.

¹ <http://www.ct.edu/files/pdfs/AAUP2007-2011FINALContract050807August8.pdf>

The conditions of this agreement have been extended to August 25, 2016 through CSUS Board of Trustees action taken on June 23, 2011 http://www.ct.edu/images/uploads/BOT_Minutes_062311.pdf

2. **Work Plan:** An appropriate and feasible methodology and a plan of action and/or conditions that will result in the accomplishment of the objectives of the project in the context of the particular area of research. The plan should be appropriate to the nature and area of research of the proposal and should include a timeline. 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, or each of the authors in a joint proposal, within the period of the grant).
3. **Outcomes and Reporting:** A demonstrated publication history **and/or** an ongoing and documented commitment (in the proposal) to seek publication of the results of research emanating from previous grants under this AAUP University Research (AAUP UR) program in refereed journals, conference presentations (including the CSUS Research Conference), performances, exhibits or other measurable and demonstrable means of dissemination of research results. Recognized quality and prestige of the publications/events in the specific field of the proposal will be appropriately weighted by proposal reviewers. Submission of a proposal (and the declared intention to submit in the AAUP UR grant proposal) to an external agency for funding is a legitimate and encouraged outcome. A final report highlighting the scholarly accomplishments of the research is due 90 days after the completion of any funded project. Reports of joint projects should reflect the contributions of individual participating faculty. Evidence of prior peer-reviewed publications/performances or exhibits resulting from previous AAUP UR grant activity will be regarded particularly favorably.
4. **Budget Proposal:** Inclusion of a realistic budget (see Appendix A3) that is clearly stated, justified and consistent with items 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 scoring proposals submitted by faculty members from Southern and Western while the readers from Southern and Western will be responsible for scoring proposals submitted by faculty members from Central and Eastern. Each of these two groups will constitute the set of reviewers representing the following broad-based disciplinary groupings in which proposals are categorized: *Fine Arts and Humanities; Social Science, Business and Education; and Life and Physical Sciences, Mathematics, Computer Science, and Engineering Technology.*

Scoring

Each proposal will be screened at the university where it is originated to verify its completeness and general compliance with the rules stated in the following section of these guidelines. Each proposal will be read by three reviewers drawn from the discipline groupings. Each reviewer will be asked to assign a score from "1" for weak to "5" for excellent for each of the items 1 through 4 listed in the "Review Criteria" section above. The combined scores generated by the three readers should produce a total proposal score ranging from a low of 12 to a high of 60. The committee at the university from which each grant was submitted will use these scores as the principal basis to determine which proposals are recommended for funding and their level of funding.

Proposal Components and Rules for Submission

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. This form must be signed and dated by each participating faculty member.

2. **Proposal Narrative:**

The narrative should be organized using headings 1. to 3. of the “Review Criteria” Section on page 1 of these guidelines (i.e. Significance, Work Plan, and Outcomes and Reporting). Narrative should be limited to *about 1200 words* in up to five pages of printed text using Times New Roman 12 point (or equivalent) font, in double spaced paragraphs and one inch page margins top, bottom, left and right. For added space allocation permitted in joint proposals please see numeral 7 below. To maintain the limit in number of pages, an appendix with graphics and similar elements is recommended only for cases when they are considered a crucial and necessary part of the application. Cover page, budget pages, curriculum vita(e), footnotes, bibliography, and optional appendices do not count towards the narrative word and page limits. Optional Appendices may be attached at the writer's discretion and should be labeled Appendix B, C, etc. These optional appendices will not be scored and reviewers will be free to judge their relevance in support of the narrative. Each submission will be scored by a group of peer faculty who are not necessarily specialists in the specific discipline of the proposal. It will be ensured, however, that these readers have the necessary expertise within the broad disciplinary category that the proposer has selected in the application cover sheet (Appendix A.1). It is important to keep in mind that a successful proposal should be written for an informed generalist in the particular discipline grouping to which the proposal belongs. At the same time, it should give enough specific information on the significance of the research and the soundness of the methodology in the context of the particular discipline to allow a reasonable review. A brief outline of related research undertaken by the applicant and/or others will help the reviewers understand the significance of the 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 supported by this program must be justified and demonstrated essential to the research proposed. For example, if foreign travel is proposed, the proposer must ascertain that collections and/or resources needed for the work are not available in the United States. Such strong justification should be included in the proposal narrative and further addressed in the Budget section, Appendix A.3.

Important Requirement: Proposals requesting support for continuation of work 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 (including the CSUS Research Conference, <http://www.ctstateu.edu/academics/conferences.htm>), performances or exhibits, book publications, etc. The Report on Previous CSU/AAUP-Funded Research should be no more than one page and should be placed immediately following the narrative section. This report does not count as part of the five-page limit on the proposal narrative.

3. **Proposal Budget:**

Proposals must use format and instructions provided in Appendix A.3. Awards are limited to \$5,000 per faculty member. A proposal outside the funding limit will be disqualified or, if time allows, be returned to the faculty submitting the proposal for corrections as part of the preliminary screening process conducted at the university originating the proposal. The proposal must show and appropriately justify the relationship between anticipated expenditures and proposed activities. Legitimate budget items include: faculty stipend, support services, supplies and equipment, and research-related travel. If a stipend is part of the budget, the contractual limit of \$2,500 per applicant must be followed. Stipends shall be outright and the grant shall be unrestricted. Stipend payments to AAUP members or to CSUS university students will be administered following university payroll rules and procedures. All budget figures must be rounded off to whole dollar amounts (no cents).

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

Please include brief vita(e) of no more than two pages highlighting educational background, professional experiences, and scholarly accomplishments of participants. 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 *Wednesday February 1, 2012 at 5:00 p.m.* to the administrative representative listed below for your campus:

CSU-AAUP Research University Liaisons

Univ.	Office	Contact	E-Mail address	Phone #
CCSU	Grants and Funded Research	Dr. Rod Waterman	waterman@ccsu.edu	2-2365
ECSU	Academic Affairs	Ms. Nancy Labonne	labonnen@easternct.edu	5-5338
SCSU	Sponsored Programs & Research	Ms. Patricia Zibluk	ziblukpl@southernct.edu	2-6801
WCSU	Grant Programs	Ms. Martha Palanzo	palanzom@wcsu.edu	7-8944

7. Joint Proposal Conditions:

A joint proposal may be submitted by two or more members of the faculty and may be funded up to the limit of \$ 5,000 per faculty member participating in the 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 can only be submitted by faculty members from the same university. As explained in section 8. below, in no case will a faculty member be allowed to submit proposals totaling more than the \$5,000 funding limit, and \$2,500 stipend limit, for any given year of the collective bargaining agreement, regardless of the number of proposals in which that faculty member participates in that year. When these limits are exceeded, the preliminary screening conducted at the university originating the proposal will disqualify it or, if time allows, will result in a request for modifications to comply with these rules. Joint proposals should specify the individual contributions and adequate level of participation by each of the faculty members participating in the collaboration. In order to allow space for this description, the five-page proposal limit is increased by one additional page (*up to about 240 additional words of double-spaced printed text*) per additional faculty member participating in the collaboration. Collaborative research across the universities is possible, but the components of such work should be submitted by the faculty at each home institution. Proposals will be reviewed separately. It is important to be aware that selection for funding at one university does not guarantee the selection of a related proposal at another university since the request levels, ability to fund and distribution approach may vary from institution to institution as determined by local Grants Committee members during final stages of the review. If funded, all payments will be made at each faculty's university of affiliation according to the budget submitted in the proposal to that university.

8. Number of Proposals in Which a Given Faculty Participates:

A faculty member may submit more than one proposal (individually or in collaborations), but the combined funding request for such faculty member shall not exceed \$5,000 in a given year. The limit for total stipends for each faculty remains at \$2,500, regardless of the number of proposals in which the faculty member participates.

9. **Proposal Checklist**

For your convenience, a Proposal Checklist is provided in Appendix A.4. Do not submit this form with your application.

IMPORTANT NOTICES

- **PROPOSALS FAILING TO ADHERE TO ANY OF THE “PROPOSAL COMPONENTS AND RULES FOR SUBMISSION” (ITEMS 1. TO 8. ABOVE) WILL NOT BE REVIEWED**
- **SUBMITTED COPIES OF THE PROPOSALS WILL NOT BE RETURNED**
- **FUNDED PROPOSALS MAY BE MADE AVAILABLE FOR EXAMINATION BY INTERESTED PARTIES**
- **LACK OF COMPLIANCE WITH PROGRAMMATIC OR FISCAL REPORTING REQUIREMENTS RELATED TO THIS PROGRAM WILL BE HANDLED IN ACCORDANCE WITH UNIVERSITY PROCEDURES**

2012-2013 Calendar

Wednesday February 1, 2012 at 5:00 p.m.

Deadline to deliver FIVE (5) copies of the proposal to the University Liaison at the faculty member’s home institution

No proposals will be accepted after this closing date and time

Thursday March 15, 2011 by 5:00 p.m.

University Grants Committee submits recommendations for funding to the CSUS President. University Liaisons may notify applicants of the Committee’s recommendations for funding, subject to Board of Regents (BOR) approval ².

On the April 2012 Meeting of the BOR

The BOR officially approves recommendations and announces the awards

Within three (3) months of the termination date of a grant --no later than Tuesday October 1, 2013

Principal contact for each project submits to the University Liaison and to the Academic Vice President at the home university a report describing the results of the research and providing a detailed account of fund expenditures. Any funds unaccounted for shall be returned to the university and be added to the allocation to be distributed in the following year.

² Public Act 11-48 makes the Board of Regents (BOR) the governing body for the Connecticut State University System. The BOR serves as the CSUS Board of Trustees and assumes its existing powers and duties for the operation of the constituent unit. <http://www.cga.ct.gov/2011/ACT/PA/2011PA-00061-R00HB-06652-PA.htm>

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: 2012-2013 University Research Grant Proposal Cover Sheet

Faculty Rank of Principal Contact:

Last Name:

First Name:

University:

Department:

Funding Request: \$

Is this a Joint Proposal? Yes No

If Yes, please fill in information for co-proposers (add separate sheets as necessary):

Name _____ Rank _____ Department _____

Name _____ Rank _____ Department _____

Is this a Continuation Project? Yes No

E-mail of Principal Contact:

Phone Number of Principal Contact:

Campus Address of Principal Contact:

Please select one disciplinary group category in which this project best fits:

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, p. 3 of the program guidelines)

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 each faculty applicant. Please add separate sheets as needed)

I hereby acknowledge my understanding that the lack of compliance with the proposal format and other requirements spelled out in the CSU - AAUP Research Grant Guidelines 2012-2013 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 research that received funding from this program in previous years should include this appendix summarizing accomplishments in no more than roughly 300 words of text. To ascertain the validity of continuing research, the review committee may request full reports from previous years of funding from the university liaison at the institution generating the proposal. If the applicant(s) received a grant in the 2011-2012 year, this summary is considered an interim report (final report due on October 1, 2012). 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 (including the CSUS Faculty Research Conference), performances or exhibits, book publications, etc.

Note: Lack of compliance with programmatic or fiscal reporting requirements related to this program will be handled in accordance with university procedures.

Appendix A.3: BUDGET AND BUDGET JUSTIFICATION FORM

2012-2013 CSU – AAUP Faculty Research Grant

Budget Item	Amount (No Cents)	Brief Justification
Faculty Stipend		
Support Services *		
Supplies and Equipment		
Travel		
Total		N/A

* For definition see Section 9.4 of the “Collective Bargaining Agreement between Connecticut State University, American Association of University Professors and Board of Trustees for Connecticut State University System, August 25, 2007 – August 25, 2011”
<http://www.ct.edu/files/pdfs/AAUP2007-2011FINALContract050807August8.pdf> .

Note: This Budget Proposal Form enables you to succinctly describe the proposed expenditures, and their adequacy, appropriateness and importance. Please keep in mind that the extent to which a justification for proposed expenditures is provided is incorporated in the scoring used during proposal review. The “Amount” column delineates the requested amounts in whole dollar figures. In the “Brief Justification” column please provide a general for each cost, (e.g., name equipment purchased, provide approximate number of hours and hourly rate for student assistants). In the space below, please provide up to about 100 words of text with further details making a case for the proposed expenditures. In particular, justification for research-related travel is important. Proponents are reminded that each university receives a separate Special Funds travel allocation for this purpose.

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 and written in Times New Roman 12 pt or equivalent font.
 - b. The narrative is no longer than about 1200 words (for joint proposals, up to about 240 additional words in one page are permitted per additional participating faculty member). The printed narrative should no be longer than 5 pages including Significance, Work Plan, and Outcomes and Reporting. 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, Work Plan, 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
 - b. Is the budget reasonable for the proposed work?

- 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.