

UNIVERSITY RESEARCH COMMITTEE



UNIVERSITY-FUNDED RESEARCH PROJECTS

Application Packet

SECTION I

UNIVERSITY RESEARCH COMMITTEE

Purpose

Eastern's university-funded research policy has a threefold rationale. First, that despite the fact that Eastern is primarily a teaching institution, research remains an indispensable element of the academic function. Second, whatever limited internal funding for research exists is meant to serve as 'seed money' for attracting substantial external funding for faculty research. Third, that it is an institutional expectation that faculty should seek external funding for their research endeavors.

Membership

As of July 1, 2003, voting membership of the committee shall consist of the Dean of the Graduate School and two faculty members from each college and a professional librarian nominated by the Faculty Senate and appointed by the president. The Director of the Division of Sponsored Programs will serve continuously as a non-voting member. Up to two graduate student members may be appointed annually by the Dean of the Graduate School as nonvoting observers. Faculty members and the librarian shall serve a staggered three-year term.

Duties and Responsibilities

1. To promote quality research and Scholarship.
2. To encourage and evaluate grant proposals and make recommendations regarding internal funding for research.
3. To prepare the annual report of research committee activities.
4. To encourage recognition of research and scholarship by faculty.

The Committee may recommend to the Provost/Vice President for Academic Affairs and Research the suspension of any of its duties and responsibilities, if necessary for budgetary reasons.

Meetings

The committee will meet at least four times a year as scheduled by the Chair. Members missing two consecutive or a total of three regular committee meetings during the academic year may be automatically dropped from committee membership. After missing two consecutive meetings and/or three regular committee meetings during an academic year, the members will be notified in writing of attendance requirements and/or his/her standing on the committee. If necessary, the Faculty Senate will be asked to recommend two possible replacements from the same constituency to serve out the unexpired portion of the term, of which the President will appoint one.

Officers

Chair – Dean of the Graduate School who shall vote only in case of a tie; Vice Chair—Director of Sponsored Programs (non-voting).

Minutes and Proposals Copied To

Minutes and proposals copied to the Provost, the committee members and the University Research Committee Award Collection, Crabbe Library.

Support Services

Academic Affairs, Division of Sponsored Programs.

SECTION II

UNIVERSITY-FUNDED RESEARCH PROJECTS

Introduction

One purpose of the University Research Committee (URC) is to promote research activity within the academic community. The committee assists with the administration of the fund for research by evaluating research proposals and establishing the terms for committee funded research grants. The committee's highest funding priority is for junior faculty to help establish their research program and the basis for future external support, and for senior faculty and professional librarians who have maintained a productive research program and have continually sought external funding for their research.

Eligibility for Funding

1. Grants are awarded only to faculty and professional librarians, with preference being given to full-time, tenured or tenure-track, teaching faculty. Visiting and adjunct faculty members are not eligible for grants.

Where, exceptionally, research funding is sought by a part-time faculty, before the research proposal can properly be considered by the University Research Committee, the applicant should provide the Chair and Vice Chair of the committee with sufficient justification for their preliminary determination as to why an exception should be made to the general policy in relation to his/her specific research proposal. Such justification should include (a) an articulation of the importance of the research project, (b) its potential for attracting external funding, (c) that the project will be jointly conducted by the applicant faculty and at least one full-time faculty as co-researcher; and (d) that it has the support of both the Department Chair and College Dean.

2. Applicants are only eligible to receive one grant award per year, and if an applicant has been previously funded by the University Research Committee, a new proposal will be considered only if the final report has been received.
3. After an applicant has had a total of three proposals funded (from any URC programs) by this committee, a new proposal will only be considered provided the applicant can demonstrate the following accomplishments:

- a. Applicant has presented or published a MINIMUM of TWO papers and/or presentations that were generated from one or more of their last three URC funded research projects. The papers must have been presented at a state, regional, national, or international meeting. This eligibility requirement applies to all current grant recipients and all previous and future grant recipients. (see Review of Applicant Funding and Past Productivity Form). Although paper presentations and published abstracts are acceptable, priority will be given to applicants who have published their research in refereed national journals within their field. The lack of publications for recipients of three or more previous research grants may result in a decision not to fund.

and

- b. Applicant has applied for EXTERNAL RESEARCH FUNDING to support their research program at some point since their first award after July 1, 2002.

It should be noted that these requirements do not apply retrospectively to July 1, 2002 (i.e., awards received prior to July 1, 2002 do not count towards the limit of three).

4. Neither academic degree work, institutional research (research that represents a self-study of a department, college or an academic program, etc.), curriculum development, or proposals that emphasize student recruiting as a primary focus will be supported.

Application Procedures

The proposal forms can be downloaded online from the URC web site at (www.research.eku.edu/URC/default.htm), and included with proposals. Number all pages of narrative in the upper right corner and all pages must be collated and stapled in the upper left corner prior to submission to the committee. **No handwritten copy will be reviewed (including forms).** To apply, submit **17 word-processed**, stapled copies of the proposal including the following eight items in the order indicated.

Item 1. COVER PAGE (includes PROJECT SUMMARY)

Item 2. REVIEW OF APPLICANT FUNDING AND PAST PRODUCTIVITY (use Form)

Item 3. NARRATIVE (10 pages maximum including bibliography, double spaced, font no smaller than 12 point, and written in third person)

Form & Style

Check for accuracy of spelling, grammar and punctuation. As the committee is interdisciplinary in membership, ensure that the narrative is clear to a lay audience and avoid using professional jargon. The narrative must include in order all the sections A-H below. Subheadings must be clearly labeled. Avoid omission of sections by referencing previous discussion.

The narrative constitutes the principal basis for judging the merit of the proposed project. Therefore, care should be taken to present clearly and concisely the information requested under the following subheadings: (note Proposal Evaluation Form for points awarded by section)

- A. **Major Objectives.** This section should include a brief rationale and statement of the project with the objectives expressed explicitly and clearly measurable and stated in **outcome** format.
- B. **Literature Review and Rationale.** If possible, a CURRENT **(most recent 5 years)**, comprehensive, scholarly description of the research topic focused on the specific research area.
- C. **Project Description.** (a) Detailed description of the research methodology and (b) Strength of the research design and its relationship to the objectives.
- D. **Evaluation.** Describe how the project will be evaluated (e.g., objectives versus outcomes, peer review, statistical analysis, etc.).
- E. **Management.** Adequacy of management of the project as to available time, subjects, facilities, equipment, and support. MUST include a timeline that provides a detailed breakdown, scope, and sequence of project.
- F. **Significance.** The significance of the research must be clear to a lay reader. Describe the significance of the project in the applicant's field on a local/regional, national, or international level.
- G. **Utilization of Project Findings.** Describe a plan for the dissemination of findings (presentation and/or publication) in scholarly journals, professional meetings, etc. (e.g., project findings used to seek external grants to expand/continue research in area). Highest priority will be given to those projects which describe a plan to pursue external grant funding.
- H. **Staff Identification.** Identify ALL faculty and students who will be conducting and/or assisting in the research. Describe EXPERTISE of applicant, involvement of students, other assistants, and/or co-researchers and indicate pertinent skills and accomplishments, including publications and papers.

Item 4. BUDGET REQUEST FORM (see page __ guidelines)

Item 5. ITEMIZED BUDGET DESCRIPTION (one page, front only, font no smaller than 12 point, see page __ guidelines)

Item 6. VITA (one per applicant, CURRENT, not to exceed two pages, front only, font no smaller than 12 point, may be single spaced)

Item 7. APPENDICES (3 pages maximum, double or single spaced, font no smaller than 12 point). Should include support letters, equipment justification, and other relevant information.

Item 8. **Copy of the application form Cover Page submitted to the Institutional Review Board for the Protection of Human Subjects OR Institutional Animal Care and Use Committee, if appropriate. Awards will be approved pending the Notification of Protocol Review from the IRB or IACUC.**

The submission dates will be announced but can be expected to be the **first Monday in October, December, February and April**. No exceptions will be made for the announced deadlines. The completed proposal is to be submitted to the University Research Committee chair. The proposals will be reviewed by the committee, which will recommend funding based on the evaluation criteria and the funds available. Proposals not recommended for funding by the committee will be returned to the applicants with reviewer comments.

Nature of Proposals

1. Research of any nature within an applicant's academic specialty may be funded to a maximum of \$5,000. The committee may reduce the maximum amount of grants in the event of URC budgetary deficiencies.
2. Support and cost-sharing for student wages, equipment, copying, and publication costs should be sought within the applicant's department and/or college. Student participation in the project is encouraged.
3. Any proposal that involves the collection of data from human subjects must be cleared by the Institutional Review Board (IRB) for the Protection of Human Subjects in Research. Evidence that the paperwork has been submitted to the IRB or an approved IRB Notification of Protocol Review form **must be** included with the research proposal before review by the University Research Committee (Contact the IRB Chair). No award will be granted until appropriate approval is received.
4. Any proposal that involves the collection of data from animal subjects must be cleared by the Institutional Animal Care and Use Committee (IACUC). Evidence that the paperwork has been submitted to the IACUC or an approved IACUC Notification of

Protocol Review form must be included with the research proposal before review by the University Research Committee (Contact the IACUC Chair). No award will be granted until appropriate approval is received.

5. A proposal will be considered only if:
 - a. the applicant is eligible.
 - b. the applicant has not received another grant from the committee in the same year.
 - c. the following forms are completed:
 - Cover Page
 - Review of Applicant Funding and Past Productivity
 - Budget Request
 - d. proposals involving human or animal subjects have also submitted the necessary paperwork to the appropriate committee to avoid delays in granting the award.
 - e. the proposal is submitted to the University Research Committee by 4:30 p.m. on the announced closing date.
 - f. the proposal follows all application procedures.
 - g. the requested amount is not greater than \$5,000.
 - h. the proposal meets pagination restrictions.

Proposals that do not follow these guidelines will not be reviewed by the Committee.

6. During the review process, the committee may request additional information from the researcher to enhance the review or may seek advice from other scholars in the applicant's field.
7. Faculty and professional librarians are strongly encouraged to collaborate in joint effort with other faculty and/or students when appropriate. Cross-departmental efforts are encouraged.
8. Each applicant is eligible for only one grant per year as an individual investigator, however, may also serve as Co-PI on one other cross-departmental project as well.

Evaluation Criteria

Proposals will be evaluated by the following criteria:

1. Clearly measurable objectives of the research stated in performance format.
2. Clearly stated research design and its relationship to the objectives under investigation and evaluation of the project.
3. Budget - accuracy of rates and requests.
4. The identification and review of current literature related to proposed research.
5. Description of how the project will be evaluated.
6. Adequacy of management of the project including the establishment of a time sequence, facilities, and support.
7. Significance of the study to the researcher's academic specialty on a regional, national, or international level.
8. Proposed utilization of the project findings (presentation, publication, or potential external grant proposal submissions).
9. Expertise of applicant, involvement of students, other students, and/or co-researchers.
10. Form and Style - accuracy, clarity, pagination, organization of proposal.

Project Reporting

The grant recipient is required to account for **all** University research funds. The committee expects that a report of the research will be published in a scholarly journal or read at a professional meeting. In all cases, the researcher must acknowledge that support for the research was made available in whole or in part by the University Research Committee, Eastern Kentucky University.

1. The grant period will provide approximately 12 months to expend all grant funds at which time grant recipients will be required to return to the University any unexpended or unencumbered funds. **REQUESTS FOR GRANT EXTENSIONS WILL NOT**

BE APPROVED BY THE COMMITTEE unless extenuating circumstances have been documented, submitted and the committee votes that an extension is appropriate.

2. An abstract of the final report will be submitted to the University Research Committee on the Final Report form. In addition, the grant recipient will submit two copies of either a reprint of the paper(s) or publication(s) reporting the research or a detailed final report to the University Research Committee that includes how the objectives stated in the proposal were met. The final report will be submitted no later than 90 days following the ending date of the project. Following receipt of the final report or reprints of paper(s), publication(s) or abstracts, the University Research Committee will place these materials, together with a copy of the original grant proposal, in the University Research Committee Award Collection, in Crabbe Library.
3. Researchers who fail to comply with the above conditions will be automatically disqualified from further funding by the committee until all paperwork and reports have been received.

Ownership Rights

The Patent and Copyright section of the Faculty and Staff Handbook (Pg. 103) determines research ownership rights, ownership of inventions, discoveries, and copyright materials. Equipment remaining after the completion and/or termination of any project financed with a University Research Committee grant becomes the property of ECU. Library materials purchased with grant funds will be transferred to the Crabbe Library at the termination of the grant. (See Transfer of Grant Materials Form).

CLARIFICATION OF BUDGET LINE ITEM CATEGORIES
(See Budget Request Form)

1. **Student Salaries.** Faculty salary support is not eligible for funding, including summer salary. Student assistants will be paid minimum wage up to a maximum of \$8 per hour and Graduate Students a maximum of \$10 per hour. If proposal is approved, money allocated for student assistants cannot be reallocated to another line item category. When possible, students already supported by institutional or federal work-study funds should be employed. In that event, their salaries and wages will not be included as a line item in the grant budget. Research Committee funds may not be used for the support of Graduate Assistantships.
2. **Fringe Benefits.** Contact the Director of Sponsored Programs for current fringe benefit rates (available on the web at www.research.eku.edu by clicking on Basic Information). Fringe benefits do not apply to workstudy students.
3. **Travel.** Must be requested at CURRENT University mileage and per diem rates (available on the web at www.research.eku.edu by clicking on Basic Information). Funds for conference travel (mileage and per diem) shall be awarded only if surplus funds are available. Professional membership and conference fees will not be funded.
4. **Supplies.** Restricted to items necessary for carrying out the proposed project, not available from other sources (e.g., department, college, etc.), that cost less than \$500.
5. **Communications.** Telephone calls and postage, and then only if funds are not available within the originating academic department.
6. **Library Materials.** Restricted to reference materials, books, manuscripts, journals, newspapers, and/or computerized literature searches, which cannot be expeditiously purchased through the Crabbe Library. At the termination of the project, materials financed with a University Research Committee grant become the property of EKU for use in the Crabbe Library, see Transfer of Grant Materials Form.
7. **Equipment.** Defined as those items that have a cost of over \$500. The equipment must be integral to the project and not available within the department. Equipment purchase requests must include a justification and documentation statement(s), and evidence of vendor cost. The committee would look favorably upon the proposal that includes some departmental matching costs and letters of support from the department chair and/or colleagues. Equipment remaining after the completion and/or termination of any project financed with a University Research Committee grant becomes the property of EKU for use in the originating department, see Transfer of Grant Materials Form.
8. **Computer Services.** Restricted to services (e.g., purchasing services to digitize audio, video, or graphics) not presently available on campus at no charge. Programming services are allowable expenditures.
9. **Copying.** Restricted to copying needed to carry out the proposed research not available from other sources.
10. **Exhibition.** May include costs of presenting work.
11. **Media.** Justify the numbers requested, e.g., CDs, video, software. Any media remaining after the completion and/or termination of any project financed with a University Research Committee grant becomes the property of EKU for use in the originating department, see Transfer of Grant Materials Form.

PROPOSAL EVALUATION FORM
University Research Committee

URC Evaluator Name: _____
 Proposal Title: _____
 Applicant: _____
 Proposal Number: _____

<u>EVALUATION CRITERIA</u>	<u>POINTS POSSIBLE</u>	<u>POINTS SCORED</u>
1. MAJOR OBJECTIVES:		
Clearly measurable and stated in performance format?	10 Points	_____
2. PROJECT DESCRIPTION:		
Design methodology clearly stated?	15 Points	_____
Directly relate to objectives?	15 Points	_____
3. BUDGET		
Current, accurate, justified	10 Points	_____

4. LITERATURE REVIEW AND RATIONALE:		
Current (<5 years or justify lack of current literature) comprehensive, summarized?	10 Points	_____
5. EVALUATION:		
Proposal includes an evaluation plan (e.g., objectives versus outcomes, peer review, statistical analysis).	5 Points	_____
6. MANAGEMENT:		
Timeline within acceptable limits?	5 Points	_____
Facilities and support meet guidelines?	5 Points	_____
7. SIGNIFICANCE:		
Project has significance in the applicant's field on a local/regional, national, or international level?	10 Points	_____
8. UTILIZATION OF PROJECT FINDINGS:		
Proposal includes a method for the utilization of findings (presentation, publication, external grant proposal submission)?	5 Points	_____
9. STAFF IDENTIFICATION:		
Expertise of applicant, involvement of students, other assistants, and/or co-researchers?	5 Points	_____
10. FORM AND STYLE:		
Accuracy, clarity, pagination, organization of proposal	5 Points	_____
	TOTAL	100 Points _____

COVER PAGE
RESEARCH PROPOSAL
University Research Committee

I. COVER PAGE

- a. Applicant(s) _____ Campus Address _____
- b. Rank _____ Check one: _____ Tenured
_____ Tenure Track
- c. Department _____
- d. Title of Research Proposal _____
- _____
- e. Type of Research (check one) _____ Basic Research _____ Applied Research
- f. Signature of Department Chair
Signature _____ Date _____

II. USE OF HUMAN SUBJECTS (Answer all questions)

- a. Will the proposed research involve human subjects? Yes _____ No _____
- b. If YES, the application must be submitted to the Institutional Review Board for the Protection of Human Subjects before it can be reviewed. Attach IRB Cover Page as last page of this application.

III. USE OF ANIMALS (Answer all questions)

- a. Will the proposed research involve animals? Yes _____ No _____
- b. If YES, the application must be submitted to the Institutional Animal Care and Use Committee before it can be Reviewed.. Attach IACUC Cover Page as last page of this application.

IV. PROJECT SUMMARY (The Project Summary should include a statement of objectives, description of the research methodology, and the significance of the proposed research to the advancement of knowledge or education. It should be informative and understandable to a lay reader. Single spaced, font no smaller than 10 point, summary confined to space provided below, and written in third person.)



Applicant(s) Signature

Date

Campus Telephone

(Submit 17 copies of the proposal to the University Research Committee chair. Proposals must be collated and stapled in the upper left corner prior to submission to the Committee. It is recommended that proposals be hand delivered to 414 Jones Building and not mailed through campus mail.)

URC Research Proposal Form
Revised 2002

REVIEW OF APPLICANT FUNDING AND PAST PRODUCTIVITY FORM

**RESEARCH PROPOSAL
University Research Committee**

Applicant(s) _____

Title of Research Proposal _____

(1) Have you ever submitted a proposal to the University Research Committee?

Yes _____ No _____

(2) If yes, please list proposals submitted since July 1, 2002 and indicate if they were funded, amount funded, and the year of the award. (Attach sheet if necessary.)

Proposal Title	Funded		Amount Funded	Year of the Award
	Yes	No		

(3) Have you attempted to obtain grants from external funding sources for any other research project?

Yes _____ No _____

(4) If yes, please list and indicate if they were funded, amount funded, and the year of the award. (Attach sheet if necessary.)

Proposal Title	Funded		Amount Funded	Year of the Award
	Yes	No		

(5) Have you attempted to obtain grants from external funding sources for the attached proposal?

Yes _____ No _____

(6) If yes, please list external agency, indicate the date submitted, amount funded, or amount requested.

External Agency	Date Submitted	Amount Funded	Amount Requested

(7) If previously funded through URC, list any ensuing presentations or publications generated from those grant awards.

Presentation/Article Title	URC Grant Project Title	Year of the Award

BUDGET REQUEST FORM
RESEARCH PROPOSAL
University Research Committee

Applicant(s) _____

Title of Research Proposal _____

Project Period _____

Total Amount Requested _____

<u>BUDGET LINE ITEMS</u>	<u>AMOUNT REQUESTED</u>	<u>DEPARTMENT/ OTHER SUPPORT</u>	<u>AMOUNT APPROVED</u> (for Committee)
1. Student Salaries	_____	_____	_____
2. Fringe Benefits	_____	_____	_____
3. Travel	_____	_____	_____
4. Supplies	_____	_____	_____
5. Communications	_____	_____	_____
6. Library Materials	_____	_____	_____
7. Equipment	_____	_____	_____
8. Computer Services	_____	_____	_____
9. Copying	_____	_____	_____
10. Exhibition	_____	_____	_____
11. _____	_____	_____	_____
12. _____	_____	_____	_____
TOTAL	_____	_____	_____

INSTRUCTIONS:

1. Round all amounts to nearest \$1.
2. **Attach one-page, front only, font no smaller than 12 point, "Itemized Budgetary Description."** It must include details under each Budget Line Item so that the nature of the item and its function is clear.

FINAL REPORT FORM

**Final Report of Grant Funded by the
University Research Committee**

Title of Research Project _____

Department _____

Name of Grant Recipient(s) _____

Date of Final Report _____ Date Grant was Funded _____
(Mo./Yr.) (Mo./Yr.)

Amount for which grant was funded \$ _____ Amount expended \$ _____

Budget Account Number: _____

Summary:

Final use of project results, e.g., Where was it published? At what professional meeting was it presented? How was it disseminated to the academic or regional community? Have you submitted to an external grant funding source?

TRANSFER OF GRANT MATERIALS FORM

**Transfer of Grant Materials Funded by the
University Research Committee**

DATE: _____

TO: University Research Committee Chair

FROM: _____
(Applicant)

(Department)

(College)

Title of Research Project _____

The following grant equipment has been transferred to the Department of: _____

ITEMS

QUANTITY

The following materials have been transferred to the Crabbe Library:

ITEMS

QUANTITY

Applicant's Signature

Department Chair's Signature

Dean of Libraries Signature (If Library Materials)