



NORTHERN ARIZONA UNIVERSITY

Faculty Grants Program

FGP 2011

(For awards commencing on July 1, 2010)

**Request for Proposals and Program Guidelines
For the funding period
July 1, 2010 – June 30, 2011**

Deadline for receipt of applications:

5:00pm, Monday, November 16, 2009

Apply on-line at www.research.nau.edu/vpr/webapps/NAUIGP

Paper applications will not be accepted!

Questions and Inquiries: All inquiries, questions or comments regarding the Faculty Grants Program Guidelines and Application process may be directed to the Office of the Vice President for Research, 928-523-4340 (or via email, ovp-research@nau.edu).

Overview

Engaging in research, scholarly work or creative/artistic projects is an essential and valued component of a faculty member's responsibilities. Northern Arizona University supports faculty commitment to such projects through the Faculty Grants Program (FGP). The FGP supports research, scholarly and creative activities that originate from the faculty member's own professional goals and interests and that lie within their disciplinary, department or college mission. The primary goal of this funding is to support the development of a faculty member's scholarly activities and to serve as a catalyst for obtaining external support for further scholarly work.

The FGP does not fund student research projects, theses or dissertations, or faculty dissertation work. Requests to support activities that will take place during sabbatical leave, or that will take place the summer before or after a sabbatical leave, are discouraged; i.e., such proposals will be given a low priority in funding decisions.

Terms of Awards

FGP awards will be funded for up to one-year commencing on July 1, 2010. Up to \$6,000 of an FGP award may be used for faculty summer salary if a proposed project involves summer effort.

All awards carry the expectation that the funded activity will lead to significant contributions to the academic discipline as well as efforts to seek external funds for future work. To this end, award recipients must commit to seeking external funding for their FGP-funded projects.

Submission of Applications

Applications for FGP funding must be submitted electronically. Certain elements of the application (abstract, project narrative, CV, letter(s) of support) are uploaded as attachments into the on-line system. Other portions of the application (e.g., budget, external funding opportunities pursued after a prior FGP award) require the applicant to enter data directly into on-line forms.

Completed FGP applications must be submitted **no later than 5:00pm on Monday, November 16, 2009** via the online system at www.research.nau.edu/vpr/webapps/NAUFGP .

LATE APPLICATIONS WILL NOT BE ACCEPTED.

Program Eligibility and Funding Priorities

The following clarifies eligibility and funding selection priority:

"New" faculty: Full-time assistant or associate professors in the first, second or third year of receiving a new tenure-track/tenured appointment at NAU. *Highest priority for FGP funding is given to new faculty.*

"General" faculty: Full-time assistant, associate or full professors who have completed three years in their current tenure-track/tenured appointment at NAU. *General Faculty members proposing new areas of research, scholarship or creative activity are given secondary priority for FGP funding.*

Ineligible for FGP funding: Regents Professors, lecturers, instructors, part-time faculty, adjunct faculty, clinical and research faculty, visiting faculty, and all other non-tenure-track categories.

An eligible faculty member may serve as Principal **or** co-investigator on only one FGP application per year. In addition, a single project may be identified with only one proposal. Multiple proposals focusing on different aspects of one project will not be considered.

A previous recipient of an IGP award must complete all administrative requirements relating to that award in order to be eligible to submit an application to the FGP.

Application Guidelines

Document Formatting

Font: Standard fonts (e.g., Arial, Times New Roman) should be used; 12-point or larger

Spacing: Single spacing

Margins: No less than one-half inch on all sides

Pagination: Include page numbers at the bottom of each page of the proposal narrative

Page Limits: [See page limitations for each proposal element, below](#)

The online application system will only accept attachments in PDF format.

Proposal Elements

NOTE: PROPOSALS WHICH DO NOT ADHERE TO PAGE LIMITATIONS, AS NOTED IN EACH ELEMENT DESCRIPTION BELOW, WILL NOT BE REVIEWED.

COVER SHEET

The cover sheet is automatically generated using data entered by the applicant into other sections of the FGP online system.

PEOPLE

Upon creating a new application in the FGP online system, applicants will enter information regarding certain individuals associated with the project—specifically, the Principal Investigator and up to three Co-Investigators.

ABSTRACT (1 page)

The abstract is a brief statement defining the scope of the project. The abstract should be written so that a clear objective of the project is easily identified. The abstract should be understandable by a lay audience. Special attention should be given to constructing a clear, concise, and persuasive abstract as some Review Committee members may review only the abstract (and not the entire proposal) for those proposals on which they are not the primary or secondary reviewer.

PROJECT NARRATIVE (5 page limit, with an optional [6th page for references only](#))

The project narrative should provide sufficient detail to give the Review Committee a thorough understanding of what the applicant intends to accomplish as well as how s/he will conduct/implement the project. Because FGP proposals are reviewed by NAU faculty from a variety of disciplines, the FGP

project narrative should use clear, non-technical language. To the extent possible, discipline-specific jargon should be avoided or at least well-defined. The project narrative consists of the following elements:

Introduction and Background: This section provides a disciplinary context, a summary of the goals and objectives of the project, and a conceptual framework for the proposed activity. If useful, specialized terms can be defined in this section so that a general audience can understand the details of the project. **Limit, 1 page.**

Project Description, Methods, and Plan of Work: This section describes how the project will be carried out—a plan for completing the proposed activity, including details regarding methodology, timetable, and feasibility of the project in the given timeframe. **Limit, 2 pages.**

Significance and Impact: This section should answer the following questions: What is the likely impact of the project on the applicant's discipline and on the state of scholarly understanding or professional work? What is the impact of the project on the university's students, department, the university as a whole, or the community? Most important, what is the likely impact on the applicant's own development and success as a scholar, researcher, or artist? **Limit, 1 page.**

Dissemination/Expected Outcomes: This section describes the expected results, identifies the audience that will be interested in them and explains how the findings or results of the project will be disseminated to the public or to disciplinary peers. This section must also address plans for seeking external support for future follow-up or related activities. **Limit, 1 page.**

Literature/References (include if appropriate): Use the format that is standard for publishing in the respective field. **Limit, 1 page.**

LETTER(S) OF SUPPORT

One letter from a dean, chair, and/or director is required. Additional letter(s) from outside collaborators may be included as appropriate. All letters must be uploaded as PDF attachments into the FGP online system. Not subject to page limits.

DOCUMENTATION OF PREVIOUS EXTERNAL FUNDING EFFORTS (for previous IGP awardees)

A list of external funding proposals submitted for projects previous supported by the IGP must be provided. Information requested includes name(s) of funding agencies and disposition of the application(s) (i.e., funded, declined, pending, resubmitted). This information is entered directly into form fields in the online system .

CURRICULUM VITAE

The CV for the Principal and any co-investigators should reflect the capability of the applicants to carry out the proposed research. **Limit, 2 pages per CV.**

BUDGET/BUDGET JUSTIFICATION

The purpose of the Budget/Budget Justification is to identify the type and amount of funds required to conduct the project. All budget information is entered directly into form fields on the FGP online system.

For projects that request support for faculty or student time, the budget justification should describe each person's scope of responsibility as well as specific duties and tasks that will be carried out. The justification should demonstrate how the time spent will lead to the successful outcome of the project. Supplies, equipment, travel, and other non-personnel costs should be justified in terms of why they are essential to the proposed project.

The budget justification should provide:

- (a) the detail of the dollars requested in the budget (i.e., what will the \$2,500 in supplies be spent on?)
- (b) the rationale for or method of calculating the figures in the budget, where applicable
- (c) a justification of why these costs are essential to the project (wherever this is not obvious)

Budget Guidelines

1. All budget items requested must conform to accepted University accounting policies and procedures (for example, regarding allowability).
2. FGP budgets should reflect the needs of the project. There is no minimum or maximum budget that can be requested. For comparative purposes: the current year's IGP awards are between \$4 and \$13K; the highest budget request was \$18K.
3. Up to \$6,000, or the cost equivalent of 1.5 summer months' effort, whichever is less, may be included in the FGP budget for each faculty member. That is, if an applicant requests summer salary for the PI and a Co-investigator, a total of \$12K (or up to 1.5 summer months' support per faculty member, whichever is less) can be included in the budget. **The amount of summer salary support requested for any faculty member cannot exceed 1.5 months' effort and must reflect the actual amount of effort necessary to carry out the project.** Applicants are strongly encouraged to provide detailed justifications for all summer salary requests.
4. Requests to purchase project-essential capital equipment (i.e., tangible property exceeding a per unit price of \$5,000) are allowed. However, applicants are strongly encouraged to include matching funds commitments in FGP budgets that request support for capital equipment.
5. All equipment and tangible materials (including books) purchased with FGP funding are the property of the University and where appropriate should be added to the inventory of the investigator's department.
6. When travel constitutes part of the planned work, the per diem for meals is not an allowable expense. However, registration fees, lodging, and transportation expenses can be covered by the FGP. In the budget justification, specify the cost of the hotel and the anticipated number of nights stay.
7. Students: Support for graduate or undergraduate students may be requested during the academic year and during the summer. The student must be an active partner in the research. The student must be in good academic standing and registered for credit during the project period (full-time during the Fall and Spring semesters), and this must be documented by the PI prior to the start of employment. Student compensation rates must be consistent with approved departmental rates and/or practice. In the budget justification, describe the activities of the student, including benefits to the advancement of the research and to the student's academic progress. It is not necessary to identify an individual student by name. The FGP does not provide support for routine technical, secretarial or administrative duties, nor does it fund graduate assistantships.

8. Each FGP principal investigator is personally responsible for managing and maintaining an accurate accounting of their research funds in conjunction with their departmental business manager, and carefully following the approved budget categories.
9. Because state funds support the FGP, all FGP awards must be fully expended and recorded by June 30 (end of the fiscal year). In order to facilitate this process, principal investigators must report to the Office of the Vice President for Research detailed plans for spending any funds that are unencumbered as of May 15, 2011. Failure to submit this plan by June 5, 2011 will result in the unspent funds immediately reverting back to the Vice President for Research for reallocation and expenditure by the end of the fiscal year.

Assurances and Compliance Issues

Projects involving the use of human subjects, animals, radioactive or other biohazardous materials, and recombinant DNA must receive approval from the appropriate review committee to ensure compliance with federal regulations and with guidelines established in the NAU Faculty Handbook and detailed on related Internet web sites. Please note that approval from the appropriate committee must be obtained before the project can begin or award funds can be released. Adherence to compliance guidelines is required of all on-going projects, regardless of funding source. If you need assistance with any assurance and compliance issues, contact the Office of the Vice President for Research.

Prior to release of funds, awarded projects will be reviewed for assurance and compliance issues. In cases where compliance review is required, funds will not be released until the project has been reviewed and approved by the appropriate board/committee.

FGP Review

Evaluation Criteria

The following criteria will be used to evaluate projects:

1. Significance and impact of the proposed scholarly or creative/artistic activity for the faculty member, department, college/school, university, and discipline
2. Capability of the faculty member, technical soundness of the proposal, and adequacy of institutional resources to support the proposed scholarly or creative/artistic activity
3. Demonstrated commitment to and potential for seeking and securing external support for the next stage of the proposed scholarly or creative/artistic activity in the near future
4. Originality and creativity of the proposed scholarly or creative/artistic activity
5. Appropriateness and adequacy of the proposed budget to support the scholarly or creative/artistic activity
6. Fit to one or more of the thematic areas identified by the Research & Graduate Education Task Force in 2003 as key areas of opportunity for the university: bioscience and health, environment

and sustainability, human culture and diversity, teaching and learning. For a discussion of the RGE Task Force recommendations, see <http://www.research.nau.edu/vpr/report.html>

Review Committee

The NAU Faculty Senate oversees election of FGP Review Committee members. The Review Committee comprises three faculty members from each college and one member from Cline Library. *Staff members from the Office of the Vice President for Research organize and facilitate the review meetings, but do not rate, rank, or score proposals.*

Proposal Review Process

Once chosen by the Faculty Senate, The FGP Review Committee members will attend an orientation in which the guidelines and criteria for evaluating proposals are discussed. Reviewers will be given guidance in accessing and using the FGP on-line system for their review of proposals. The Vice President for Research will provide instructions for evaluating proposals, discuss criteria for evaluation, and answers questions from the Review Committee at this orientation meeting.

Each Reviewer will be assigned “primary reviewer” status on no more than 10 proposals and will be assigned “secondary reviewer” status on no more than 10 proposals. (Each proposal is assigned to one primary and two secondary reviewers; the primary reviewer will take the lead on discussing the proposal in the Proposal Review Meeting.) In the FGP on-line submission and review system, Reviewers will have access to all proposals and will also be asked to review briefly those proposals for which they are neither primary nor secondary reviewer. The Office of the Vice President will strive to avoid assigning proposals to a Reviewer from the same department as the applicant. Reviewers will be asked to request re-assignment if they believe that a conflict of interest or other bias exists toward a proposal that they have been asked to review.

Review Committee members will submit their first round of evaluations of proposals for which they were either primary or secondary reviewer to the Office of the Vice President for Research via the on-line review system. Based on these initial evaluations from the primary and secondary reviewers, a preliminary score will be assigned to each proposal.

At the proposal review meeting, the Review Committee will assess the number of proposals to be discussed and the distribution of preliminary scores. If time will not be sufficient for full discussion of all proposals, the Committee may decide on a cutoff or threshold score; proposals with preliminary scores falling below the cut off score may not be discussed extensively by the Review Committee, and would not be scored again. Proposals will be presented to the Committee by the primary and secondary reviewers and discussed at least briefly by the whole Committee. If time allows, all Committee members will score the proposal immediately following the discussion. The scores will range from 1 to 5, with 1 meaning ‘poor’ and 5 meaning ‘excellent’. If the Committee decides that time is not sufficient, proposals with preliminary scores below the threshold will not be re-scored, but the brief discussion will be noted in order to provide feedback to the applicant(s).

When the proposal review meeting is over, scoring sheets will be collected from all Committee members. Staff members of the Office of the Vice President will calculate an average score, based on all Committee members’ score sheets, for each proposal that was discussed and scored during the proposal

review meeting. Proposals will then be ordered from highest to lowest average score. This ranking will serve as the order in which proposals will be discussed by the Finance sub-committee, which is made up of FGP Review Committee members who have volunteered to serve on this sub-committee and the Vice President for Research.

At the Finance Sub-committee meeting, final award decisions will be made. The Finance sub-committee will take into consideration the final averaged scores, notes and comments from the proposal review meeting, and the program guidelines and evaluation criteria when making the decisions. Additionally, the Finance Sub-committee will take into account the relative priority of proposals from New Faculty versus General Faculty, and the relatively low priority to be given to proposals for support of sabbatical activity.

Following the meeting of the Finance Sub-committee, FGP applicants will be notified of their application's status. Copies of these notification letters will be sent to the Deans and Chairs of the applicants' departments.

Written reviews and summaries of the review committee discussion will be provided to all applicants after the funding decisions are made. Funding decisions will be announced on or before March 1, 2010.

Award Administration

Award Activation

Awardees are initially notified via e-mail that their FGP application has been chosen for funding; this notification is followed by a (paper) award letter which sets forth the terms and conditions of the FGP award. If a project budget has been funded intact, the Principal Investigator is only required to review the terms and conditions of the award, address any applicable compliance matters, and sign/return to the OVPR an enclosed Award Acceptance Form in order to activate the award. However, if a project budget has been funded for some amount less than the original budget request, the Principal Investigator must also provide a revised budget and/or scope of work.

Once activated, the awardee's department's business officer receives a copy of the FGP award letter with the final project budget attached. This will facilitate the PI's access to the funds over the course of the project.

Accessing FGP Funds

Non-personnel expenditures against FGP funds are initially executed through the Principal Investigator's academic department. The OVPR then reimburses the department through a transfer of funds.

Personnel expenses are charged directly to FGP funds as follows:

Faculty Summer Salary: Personnel Action Requests (PAR) will be initiated by the OVPR and sent to the awardees' department to confirm compliance with daily rate of pay. Because FGP is funded with State funds, summer salary cannot commence before July 1, 2010. Therefore, summer salary will be paid over the first three pay periods of the fiscal year/FGP grant period. *When developing the FGP application*

budget, PIs should keep in mind that other grants or summer teaching assignments may affect when FGP summer salary can be paid.

Student Wages: Both undergraduate and graduate students will be paid hourly wages as established in the award budget. Once an FGP award is activated, the PI should direct students to contact Melody.bowling@nau.edu to schedule a time to complete payroll paperwork. *This may not be done through the PI's department.*

Budget Modifications

All budget modifications that involve (a) movement of funds from one budget category to another and/or (b) personnel must be approved by the OVPR in advance. Written requests for FGP budget modifications must be submitted in writing/via e-mail to Melody Bowling.

Budget modifications should be requested no later than March 31, 2011.

Project Reporting

Two project reports are required of each FGP project:

- (a) Progress Report – a brief (one page or less) report describing work done to date is due November 15, 2010.
- (b) Final Report – A 2-page final report, due July 31, 2011, should include the following information:
 - The extent to which the goals and objectives of the project have been achieved
 - A description of the results
 - A description of attempts to seek external funding for continuing work (and the outcome, if known)
 - A summary of how the funds were used
 - If available/feasible, describe and attach any manuscripts or any other outcomes that were completed
 - If available, attach a copy of the PAF for any submitted external proposal that is related to the FGP grant

FGP recipients who fail to submit reports as described above will be declared ineligible for further support under all funding programs administered by the Office of the Vice President for Research.