

## **PROVOST'S RESEARCH AWARD GUIDELINES 2008-9**

The Provost will make up to three research awards for use over a 15-month period by full-time faculty to develop a research initiative with high potential for securing external, institutional research funds and to apply for external funding.

### Eligibility

- Full-time faculty who have not previously received major external awards are eligible to apply.
- A faculty member may submit only one proposal per year.
- Proposals to share one award may be submitted jointly by faculty; however, those faculty members may not also submit individual proposals.
- An individual who receives a Provost's Research Award (PRA) may not receive an award through the Research and Creative Projects program covering the same funding period, although application may be made to both programs in the same academic year.
- A recipient of a Provost's Research Award may apply for a second award after the potential sponsor has denied an award of the external proposal submission submitted during phase two.

### Selection

- The selection process will favor projects from faculty who are in a position to use this funding to progress from their current research status to one in which they are competitive for major external, institutional funding. Priority will be given to projects with the highest potential for securing support from Federal agencies that provide full Facilities and Administrative (F & A) costs, (e.g., NSF, NIH, DOE, EPA, and DOD). The potential external funding source must be identified in the application.
- In addition to allowing recovery of full F & A costs, the research must have the potential to provide other institutional benefits – e.g., support of undergraduate or graduate student research assistants, or potential for enrichment of the academic environment at SUNY New Paltz through, for example, public presentation of results.

Upon accepting a Provost's Research Award, an individual agrees to apply for such external funding to support continuation of the research initiative. The faculty member **MUST** submit a proposal to the identified external sponsor no later than one year from the end of the second summer of PRA support. In consideration of this requirement, as detailed below, the grant process is designed to provide support for preparation of an external application.

### **The Award**

The award will be made in two phases:

- *Phase I:* The sum of up to \$10,000 will be awarded per project (even if shared by more than one faculty member), to be used for project support over the 12 month period from June 1 through May 31 of the grant year. Up to \$3,500 of the above amount may be used as summer salary. Up to \$6,500 may be used for budget items including equipment, supplies and fringe benefits.
- *Phase II:* If appropriate progress is made, additional funds will be provided (equivalent to the amount paid for teaching one course in the summer) to be used in the immediately following three month period (June 1 – August 31) to complete a proposal for submission to an external sponsor. Demonstration of appropriate progress is determined by the Dean and outlined in a recommendation to the Provost for Phase II funding.  
*Participation in the Council on Undergraduate Research Proposal Writing Institute is strongly encouraged during Phase II.* Funding additional to the amount requested for the Provost's Research Award will be provided through the Office of Sponsored Programs, but it may not be used for any other purpose.

## Timeline

### **Deadline: October 24, 2008**

The proposal must be signed by the Assistant Vice President for Sponsored Programs and two copies must be submitted: one to the applicant's department chair and one to the Office of Sponsored Programs.

For 2008, review will occur in accord with the following calendar:

Prior to October 10, 2008	Consult with Office of Sponsored Program Staff, receive budget approval*
October 24	Signed proposal application due to department chair.
October 31	Proposal due in dean's office from department chair, with comments
November 7	Applications recommended by deans due in Office of Academic Affairs For proposals involving human subjects research, IRB proposal due to IRB
November 7 – December 12	Additional review conducted utilizing external reviewers as necessary
December 12	Awards announced by the Office of Academic Affairs

\*Sponsored Programs staff will assist in developing and reviewing all budgets before submission. As well, staff will assist in identification of a sponsor and program that are appropriate matches for the research project. The sponsor and program must allow full F&A (indirect) costs. The target deadline for applicant submission of a proposal to that sponsor will be determined.

### **Items to be Included in the Application:**

One-Page Cover Sheet with signatures (see attached)

**Proposal** with the following sections addressed:

#### A. Previous Support

List titles, sources, dates and amounts of funding of all internal and external awards previously received in support of this research. If funding was previously received through an internal award, e.g., Research and Creative Projects Award, describe the results you achieved.

#### B. Rationale for Award Request – Potential for External Funding

Explain the need for the Provost's Research Award in relation to the status and requirements of your research. Describe how this award will increase your competitiveness in securing external funds. Indicate from what external sponsor and program you will seek funding. Describe the purpose and priorities of that program. Make a case for why your research project is a good match for that program, indicating what priorities or aspects of the program purpose it addresses. Indicate the deadline for the sponsor's program to which you will apply after completing the activities of Provost's Research Award? (*Typically, one or two pages should be sufficient.*)

#### C. Project Narrative

Prepare your proposal in a clear, careful and thorough manner. *Provide a clear and compelling rationale stating why and for what purpose this research is important.* Write in language understandable to readers who may be unfamiliar with the project and your academic field. (*Typically about 5 pages should be acceptable.*)

1. Abstract

Provide the title of the proposed project, the investigator's name, and a short description of the project (approximately 100 words).

2. Purpose of the Research

State the purpose of the study, including research hypothesis/hypotheses, research questions or objectives of the study.

3. Significance of the Research

Discuss the importance of the research relative to the research of others and indicate the benefits to be derived from the study. The merits of the proposed project should be clearly and thoughtfully presented. Provide a brief review of literature including citations. This is a CRITICAL section of the proposal. You MUST CONVINCe internal (and later, external) reviewers that your research has the highest possible significance in order to surpass your competition and to be successful in obtaining either internal or external funding!

4. Research Design/Methodology

State all the variables to be examined. Describe all aspects of the research design and methodology. As necessary and appropriate, your description should include subjects (demographics, source of participant population, approximate number, etc.), sampling strategy, procedures you will use to collect data on all variables, and record keeping procedures. Describe data collection instruments and equipment needed. Specify the location where data will be collected.

5. Data Analysis

Describe and provide a rationale for the methods to be used in analyzing data, including statistical methods. Address the suitability of the methods to be employed.

6. Resources, Facilities and Equipment

Describe the adequacy of the resources, facilities and equipment at SUNY New Paltz to conduct the project OR describe plans that have been made for accessing facilities and equipment at other locations/laboratories, explaining the reason for this need. Applications including plans for use of external facilities and equipment must include letters of support and approval for such use from individuals from the facility with authority for assignment of use.

7. List of Publications Related to Project

Provide a list of your publications that are related to the proposed project.

D. Budget

Attach the budget prepared in collaboration with staff of the Office of Sponsored Programs. Funding may not be used to support external collaborators and/or subcontracts. Guidelines for budget development are outlined below.

E. Budget Narrative

Provide a budget narrative to explain the need for each budget item.

F. Approval of Institutional Review Board, Animal Use or BioSafety Compliance Committee (if applicable)

If your proposed project involves human subjects research, animals or recombinant DNA, an application must be submitted to the appropriate campus review board (IRB, AUCC, BioSafety) by the Provost's Research Award application **deadline for submission to chair**. Funds will not be released until full compliance with regulations is demonstrated.

G. Reviewers' Comments (only applicable if a proposal developed with support from the Provost's Research Award was denied when submitted to an external sponsor)

## **Budget Guidelines**

### **Personnel:**

This category includes faculty summer salary, statistics/research design consultant, clerical, technical and student assistance and fringe benefits. Faculty summer salary support in Phase I is limited to \$3,500. The fringe benefit rate to be used on this amount is that for SUNY IFR (income fund reimbursable) accounts.

- Support is not available for faculty release time during the academic year.
- If your design requires statistical analysis, and if a statistician is not included as a paid, long term member of your project staff, it is highly recommended that a minimum of \$500 be designated for review of your research design, sampling strategy and statistical analysis methods by a qualified statistician. The Office of Sponsored Programs may be able to assist with arrangements for this service.

### **Supplies and materials:**

Items in this category include laboratory supplies, books and journals, office supplies, computer supplies and software, and small equipment items.

- Instructional Media Services (IMS) may have equipment that can be borrowed, e.g., tape recorders, video cameras, etc. in lieu of purchasing it under this category.
- All equipment purchased becomes the property of the State of New York.

### **Other:**

Costs in this category are those that are not included in the categories above. These may include duplicating costs, postage, long distance telephone, publication related costs, and computer data searches. Travel expenses, if explicitly to gather data or if part of the research design and necessary to completion of the project, may also be included here. Funding for travel to attend conferences is not allowable.

- State policies will be followed for the reimbursement of all travel expenses.

## **The Review**

### **A. Selection Factors Considered**

1. Merit and significance of the project (Proposers must make a *compelling* case for the merit and significance of the research to reviewers who are not specialists in the field.)
2. Stage of the research (Is the research sufficiently advanced to show promise?)
3. Potential of the research and the researcher for securing external funds
4. Involvement of students in the research and other potential for enrichment of the academic environment
5. Writing (Is the draft written in a clear, compelling, complete and well organized manner? Is the draft adequately edited for use of correct grammar and sentence structure?)
6. Appropriate plans regarding resources, facilities and equipment (Is the project likely to be completed with resources, facilities, and equipment available at New Paltz or have appropriate plans been made for accessing facilities and equipment at other locations/laboratories?)
7. Support of the Chair of researcher's department
8. External reviewers' comments (This is applicable only if a proposal developed with support from the Provost's Research Award was denied when subsequently submitted to an external sponsor.)

### **B. Process**

The Chair of each applicant's department will review the proposal and provide comments to the Dean. Each Dean reviews the proposals in his/her school and selects those to recommend for further consideration. External review regarding the merit and significance of the research will be utilized as needed.

In Phase II, appropriate progress to justify additional funding will be determined by the dean of the researcher's unit.

**Proposal Preparation Checklist 2008:**

- \_\_\_ Meet with Office of Sponsored Programs staff to determine appropriate external sponsor and receive budget assistance prior to October 10.
- \_\_\_ If applicable, complete and submit IRB, Animal Use or BioSafety review applications by October 24.
- \_\_\_ Complete all elements of application:
  - \_\_\_ Cover Sheet
  - Sections:
    - \_\_\_ Previous Support
    - \_\_\_ Rationale for Award Request
    - \_\_\_ Project Narrative (addressing items 1-7 outlined above)
    - \_\_\_ Budget, reviewed by Office of Sponsored Programs
    - \_\_\_ Budget Narrative
  - Attachments:
    - \_\_\_ IRB, AUCC or BioSafety approval, if obtained
    - \_\_\_ Reviewers' Comments, if applicable
- \_\_\_ Obtain Office of Sponsored Program signature on grant application before October 24.
- \_\_\_ Make two copies of application
  - \_\_\_ Submit one to Department Chair by October 24.
  - \_\_\_ Submit one to Office of Sponsored Programs by October 24.

**PROVOST'S RESEARCH AWARD  
COVER SHEET 2008-9**

APPLICANT NAME: \_\_\_\_\_ E-MAIL: \_\_\_\_\_

DEPARTMENT: \_\_\_\_\_ RANK: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_ TENURED/PERMANENT:  YES  NO

PROJECT TITLE: \_\_\_\_\_

AMOUNT REQUESTED FOR PHASE I: \_\_\_\_\_

EXTERNAL SPONSOR NAME: \_\_\_\_\_

PROGRAM NAME: \_\_\_\_\_ PROGRAM DEADLINE: \_\_\_\_\_

**COMPLIANCE REVIEW**

Does this project involve human subjects?  YES  NO

If yes, a copy of the IRB approval is attached.  If yes, application has been submitted to the IRB.

**NOTE: An application must be submitted to the IRB by the PRA application deadline.**

Does this project involve animals?  YES  NO

If yes, a copy of the AUCC approval is attached.  If yes, application has been submitted to the AUCC.

**NOTE: An application must be submitted to the IRB by the PRA application deadline.**

Does this project involve DNA?  YES  NO If yes, please fully explain in the narrative.

Does this project involve biohazards?  YES  NO If yes, please fully explain in the narrative.

**SIGNATURES**

**Principal Investigator:**

I understand that a copy of the IRB approval letter (for proposals with human subjects) or the AUCC approval letter (for proposals with animals) must be submitted to Academic Affairs before funds can be released. I also understand that all products, publications, teaching materials and other public presentations resulting from this award must carry a statement acknowledging support from the State University of New York at New Paltz.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Assistant Vice President for Sponsored Programs**

The external sponsor and program identified above are appropriate matches for the research project as currently defined. Full F&A costs are allowed by this sponsor and program. A budget spreadsheet has been provided to the applicant.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Chair Comments:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Dean Comments:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

