

## Faculty Research Support Grants APPLICATION COVER PAGE

Applications need to be submitted electronically to [abrown@american.edu](mailto:abrown@american.edu) no later than **COB, Monday, December 10, 2018.**

Title of Project: \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

Work Telephone: \_\_\_\_\_ Department: \_\_\_\_\_

Email: \_\_\_\_\_ Current rank: \_\_\_\_\_

Funding Amount Requested: \_\_\_\_\_

Does the proposal involve:	Yes	No
Research with human participants?	<input type="checkbox"/>	<input type="checkbox"/>
If yes, has the protocol been submitted with IRB?	<input type="checkbox"/>	<input type="checkbox"/>
If the protocol has been approved or exempt, list the protocol number:		
Research with animals	<input type="checkbox"/>	<input type="checkbox"/>
If yes, has the protocol been submitted with IACUC?	<input type="checkbox"/>	<input type="checkbox"/>
If the protocol has been approved or exempt, list the protocol number:		
Research with rDNA	<input type="checkbox"/>	<input type="checkbox"/>
If yes, has the protocol been submitted with IBC?	<input type="checkbox"/>	<input type="checkbox"/>
If the protocol has been approved or exempt, list the protocol number:		

**SIGNATURES:**

\_\_\_\_\_  
Applicant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Department or Teaching Unit Head or Designee

\_\_\_\_\_  
Date

\_\_\_\_\_  
Dean or Designee

\_\_\_\_\_  
Date

Digital signatures must be collected sequentially and one at a time. For more information, please visit <http://www.american.edu/provost/grad/pdfforms.cfm>

## **Faculty Research Support Grants**

### **APPLICATION GUIDELINES (May 1, 2019 - April 30, 2020)**

The Office of the Provost provides competitive intramural research grants to support faculty research, scholarship, professional and creative activities. This support mechanism provides faculty in all units at American University, **except the Washington College of Law**, support for the direct costs of pilot studies to increase their research productivity (Washington College of Law faculty can participate in group projects). Research is defined as creative works, experimental investigations, professional projects, archival studies, and other scholarly endeavors that advance knowledge in the applicant's discipline, field, or profession. The grant review process is managed by the Vice Provost for Research and Dean of Graduate Studies (VPR-DGS). The ultimate goal of this initiative is to make AU faculty more competitive in applications for external funds.

#### **FOR APPLICATION FORMS AND INSTRUCTIONS**

(<https://www.american.edu/research/facultygrants.cfm>)

	<b>Faculty Research Support Grants</b>
<b>Deadline</b>	Monday, December 10, 2018 at 5:00 PM
<b>Funding period</b>	May 1, 2019 to April 30, 2020
<b>Budget limit</b>	\$10,000 for projects from a single faculty member <u>OR</u> \$25,000 for projects from a faculty work group composed of three or more members.
<b>Eligibility</b>	All full-time AU tenured or tenure-earning faculty, and <u>all</u> term faculty are eligible to submit proposals. The Washington College of Law faculty is <b>not eligible</b> for this funding opportunity, except as a member of a faculty work group.

**APPLICATIONS NEED TO BE SUBMITTED ELECTRONICALLY TO  
[ABROWN@AMERICAN.EDU](mailto:ABROWN@AMERICAN.EDU) BY MONDAY, DECEMBER 10, 2018  
AT 5:00PM **LATE PROPOSALS WILL NOT BE ACCEPTED****

## **General Guidelines**

- Proposals may be submitted by faculty who:
  - Are full-time AU tenured or tenure-earning faculty, and all term faculty
  - Completed and submitted a final report for all previous Faculty Research Support Grants
- All grants will be evaluated on merit, innovation and fit with the current research mission of the University, (e.g., AU 2030). Priority for funding is given to applicants who have not received a Faculty Research Support Grant during the last five years. In addition, funding priority will be given to proposals that clearly explain how the proposed project will lead to additional applications for external funding.
- The funding period for proposed projects is one AU fiscal year, i.e., from May 1 to April 30. Requests to extend this period will not be approved. If desired, the funds from the Faculty Research Support Award can support a portion of a larger project. If this is the intent of the applicant, the proposal should carefully delineate the portion of the larger project that can be completed during the funding period.
- Budget items may include: graduate student or undergraduate student support during the summer and/or the academic year; travel to off-campus sites to conduct research; equipment or supplies; or other expenses related directly to the proposed research.
- Awarded funds will be transferred to a research account specifically created for the recipient of the funds. Award recipients are responsible for managing this account, in accordance with all appropriate AU policies and procedures. They should work with the appropriate budget officer in their school or college to manage this account.
- A letter of support from the Dean of the applicant's academic unit or the Dean's designee is required for each submitted proposal.
- Faculty may use awarded funds in conjunction with funds from their Dean or another university office if more than the maximum funding amount is needed to complete a proposed project. Support from other sources is not required for submission of a proposal and does not improve the competitiveness of a proposal.
- All communication about proposals and their review is considered confidential. Information about funding of specific proposals can be communicated only from the VPR-DGS. Detailed feedback is not provided on each proposal that is not accepted for funding.

## **Proposal Review Process**

All proposals submitted to the Faculty Research Support Grants competition are reviewed by the VPR-DGS in consultation with the Associate Deans of the Academic Units.

## ***Commitment on Receipt of a Faculty Research Support Grant***

Upon acceptance of a Faculty Research Support Grant, recipients agree to:

- Submit a final report, including a final expense statement, to the VPR-DGS on the appropriate form by July 1, 2020). Award reports must be submitted before a faculty member is eligible for a merit pay increase.
- Follow all AU purchasing, travel, and personnel guidelines, working with the appropriate budget officer in their school or college. Purchasing guidelines can be found at <https://www.american.edu/finance/controller/university-accounting-policies-procedures-and-guidelines.cfm>
- Include an acknowledgement of research support from AU on any publication or presentation of work funded fully or in part from a Faculty Research Support Grant.
- Acknowledge that all equipment, manuscripts, microfilms, research apparatus, and other research materials purchased with grant funds are the property of AU.
- Reimburse AU for any expenditure in excess of the total awarded budget, for charges not allowed, or for expenditures made beyond the grant expiration date.
- Inform the VPR-DGS if the award recipient terminates employment at American University during the funding period (FY 2019-2020).
- Return to AU during AY 2020-2021. In the event that employment at AU is terminated before the end of the funding period, the recipient agrees to repay AU all spent funds.
- Present project results at an appropriate university event, if requested.

**Faculty Research Support Grants**  
**INSTRUCTIONS FOR PREPARING A PROPOSAL**

Some of the documents to submit will be writable pdf forms. Please visit <https://www.american.edu/provost/grad/Writable-PDF-Form-Info.cfm> for more information. All other documents should be prepared in 12-point Times New Roman or 11-point Arial font. Type should be single-spaced, with 1-inch margins on all sides of the pages.

Applications must include all seven of the following components, submitted in the following order. Please label each section with the headings listed below. Please number all pages, starting with the cover page as page one. Submit the final application as one PDF document to Anita Brown, [abrown@american.edu](mailto:abrown@american.edu).

**1. Cover page**

- Indicate the amount of funding requested from your dean, if applicable.
- If appropriate, provide proper information about approval to work with human participants or animals. Research with human participants or animals requires an approved protocol from the appropriate research review committee (i.e., the IRB or IACUC) prior to receiving funding. Applicants may wait until funding decisions are made to submit their protocol to the IRB or IACUC for approval. Please indicate whether the protocol has been submitted, approved, or will be submitted if the project is funded on the application cover page.
- Research with rDNA requires approval by the Institutional Biosafety Committee (IBC). If applicable, please indicate whether the protocol has been submitted, approved, or will be submitted if the project is funded on the application cover page.
- After filling out your form completely, sign it yourself. Next, email it to your department or teaching unit head for signature. Afterwards, email the document with both signatures to your dean. Do not delete the emails with the signed documents.  
***All signatures are required or the proposal will be returned without review.***

**2. Proposal narrative (4 page limit, not including references)**

The text of the proposal is limited to four pages. Proposals are reviewed by faculty from many different disciplines. Therefore, it is important for applicants to write their proposals clearly, concisely and in a way that they can be understood by people who are non-specialists. The emphasis in the proposal should be on the description of ***what will be done*** during the period of the grant, described in a way that any educated reader can evaluate the likelihood that the project goals will be able to be met and that the planned work is likely to lead to future external funding for the applicant.

There are four parts to the proposal narrative. Please label each section with the headings used below. The page guidelines are included as suggestions and are not strict page limits, but the entire narrative is limited to four pages total, including the timeline.

**A. Non-technical summary (approximately 1/2 page)**

The summary presents an argument for the value and significance of the project and conveys the place of this particular project in the applicant's overall program of scholarship. Please include in the summary a description of the goals of the project, the contributions of the project to the applicant's program of research and to his or her field of study more broadly. There should be a clear statement included regarding how the

proposed work is foundational to a future submission for external sponsored research funding or an externally funded fellowship.

**B. Background and significance (1½ pages maximum)**

In this section, the applicant explains the importance of the project, using current research literature or creative work and clarifies to the reader how the proposed research contributes to the discipline and to the applicant's program of scholarship. Citations are included in the text, but footnotes are not used. The list of citations in the text is included on a separate page at the end of the narrative and does not count in the four-page limit. This section should include a clear statement of the specific aims or objectives of the project and an explanation of the contribution that the work would make when completed. The literature review should be selective, rather than exhaustive.

**C. Project design and procedures (approximately 2 pages)**

This section presents a clear plan of work that is achievable within the timeframe of the grant period, including what is to be done and how it will be done. The methods and significance of the work must be described in a way that can be understood by scholars from other disciplines.

Particular considerations in this section for specific disciplines include the following.

**Creative artists** must explain their plans and procedures and how these relate to ideas and/or studio and performance practices in their proposed works.

**Humanists** must identify the primary materials to be interpreted, where they will be obtained (i.e., from museum collections, libraries, archives, people, field sites, etc.), and how those materials will be used or interpreted.

**Professional projects**, such as those from faculty in Kogod, must identify sources of data and how they will be collected. If new metrics or instruments are to be used, the applicant should explain why existing measures are not sufficient and how new measures will be validated. The applicant should describe how data will be analyzed, providing as much detail as possible. Those from the School of Communication should position themselves in the landscape of their fields, explain how this work will advance the field, make an innovative contribution to the field, and the impact of the project on its intended audiences, including strategy for distribution and promotion and evaluation.

**Physical and Natural Scientists/Social and Behavioral Scientists** must identify the specific sources of data to be obtained (whether from human subjects, animals, or the physical world) and how those data will be collected. If particular measurements are being made, these should be described. The applicant should describe how the data will be analyzed in as much detail as is possible and explain the process by which the data will be reduced or integrated or interpreted.

**D. Project timeline (1/4 page)**

Include sufficient detail to demonstrate that the project can be completed within the period of the grant. Usually, a quarterly timeline is adequate. Be sure the tasks described in the Project Design and Procedures section are included in the timeline.

**Reference list:** Include *only* references or works cited in the proposal narrative, and list references on a separate numbered page following the narrative.

### **3. Other internal and external support (please use a separate page)**

On this page, the applicant describes any other funding for this specific project or line of scholarship, as well as any past, current, and future projects. Please organize the information into the following three sections:

- (a) Prior internal support – provide a list of support from your academic unit, e.g., dean or department chair, and the Office of the Provost, including **Faculty Research Awards received in the last five years**. Include type of support, title of proposal, and dates of funding for each project.
- (b) Planned external support – include the names of any funding agencies to which you plan to submit a proposal that is related to the project for which the Faculty Research Support Grant is sought, the planned submission dates (be specific), the anticipated title of the proposal, a brief (2-3 sentences) description of the content of the proposal, and an approximate budget amount. Note that applications to funding agencies for faculty fellowships are also considered external support. The guidelines for managing this can be found at <http://www.american.edu/provost/osp/>. It is helpful to explain how completion of the proposed internally funded project will make you more competitive for the external funds you will be seeking. ***Plans for seeking future external funding are required of all applicants. Future requests for Faculty Research Support Awards will be denied if external funding is not sought between the time that one Award is made and a second is requested.***
- (c) Previous external support and grants submitted – include projects or fellowships currently funded from external sources, proposals submitted within the last three years but not funded, and proposals pending. For each proposal, include the investigators' names, funding agency, title of project, dates of funding received or requested and budget amount. Fellowships and travel grants are considered external funding, but awards and prizes for scholarly work are not.

### **4. Curriculum Vitae (3 pages maximum)**

The CV should include the applicant's education, employment history, and a bibliography of recent and/or relevant publications or creative works or activities. **The CV is limited to three pages.** A CV must be provided for each faculty member named in the proposal.

### **5. Budget and justification**

Faculty Research Support Grants require a budget and a narrative justification for each item in the budget. Please use the budget summary form (a writable pdf form) provided in the application materials. On a separate page, headed Budget Justification, describe what is covered in the amount for each category and the purpose of each budget request. Break down the budget only to whole dollar amounts, rounding as needed. Be specific about budget requests, especially for personnel (explaining number of hours and hourly rate, if appropriate, as well as the nature of work to be performed) and travel (explaining the reason for the travel and breaking down the request into airfare, meals, and lodging rates). It is not necessary to itemize small amounts spent for supplies and materials.

All AU purchasing, travel, and personnel guidelines must be followed, working with the appropriate budget officer in your school or college. Purchasing guidelines can be found at <https://www.american.edu/policies/upload/Procurement-and-Contracts-Policies-Procedures-Guidelines.pdf>

#### Allowable expenses

- Salary for non-AU employees or students only if AU employees or students are not available.
- Wages for undergraduate and graduate students. These wages are based on the standard wage for the department unless the applicant justifies a higher rate.
- Fringe benefits as required according to AU policies.
- Travel expenses necessary for completion of the proposed work, including international travel – per diem and mileage rates must meet current AU guidelines.
- Payment to study participants.
- Supplies and equipment necessary to complete the project and that are not readily available on campus or through the applicant's department.
- Software necessary to complete the project that is not available on campus.

#### Expenses not allowed

- Course release for faculty.
- Summer salary support for faculty.
- Travel to a professional meeting or conference.
- Travel that is not essential to completion of the research (i.e., travel to consult with a colleague or mentor is generally not considered essential and would need to be well justified to be supported).
- Graduate or undergraduate wages or assistantships that are not directly related to the project.
- Subcontracts to other universities or organizations.
- Materials or equipment already available on campus or generally provided by departments or via inter-library loan.
- Software normally provided on campus.

Recipients requesting a change in an approved budget must submit a revised budget and budget justification to the VPR-DGS for review and approval. **Changes in the budget up to \$500 do not require VPR-DGS review and approval.**

## **6. Submission and Inclusion of Supporting Documents**

Submit the full proposal electronically to [abrown@american.edu](mailto:abrown@american.edu). Include any supporting documents (e.g. CDs, DVDs, photographs or artwork) considered essential for reviewers to understand the proposal. If they cannot be emailed or posted on a website, please send copies via campus mail to:

Anita Brown, Special Assistant to the Vice Provost  
for Research and Dean of Graduate Studies  
4801 Massachusetts Ave, NW, Suite 325,  
Campus Zip Code 8075



Additional materials in support of grant applications are discouraged. Reviewers have limited time and expect all necessary information to be included in the proposal itself. The only supporting materials considered necessary are letters from cooperating agencies where the applicant plans to recruit research participants or letters from museums or libraries where access is restricted.

Please do **not** include CDs, DVDs, photographs, or artwork unless they are absolutely essential to understanding the proposed project. Letters of support from department chairs, colleagues, or experts are not to be included and will be removed from the application prior to review. All necessary details of methods and procedures and other information regarding the work to be done should be incorporated into the body of the proposal and not included as an appendix. Appendices, other than letters verifying access to research participants or materials and support letter from the Dean, will be removed from the application prior to review.

### **Final Report**

A final report, a writable pdf form, including a final expense statement, is due to the VPR-DGS by July 1 in the year following the award. The format for the final report is at <https://www.american.edu/research/facultygrants.cfm>

## Faculty Research Grant Proposal Budget Summary

Applicant Name: \_\_\_\_\_

Funds from the Faculty Research Support Grants will be transferred to the faculty member's research account. The faculty member assumes the responsibility of managing this account following appropriate AU procedures. A narrative justification for each item in the budget must be provided. On a separate page, titled Budget Justification, describe what is covered in the amount for each category and the purpose of each budget request. Break down the budget only to whole dollar amounts, rounding as needed. Be specific about budget requests, especially for personnel (explaining number of hours and hourly rate, if appropriate, as well as the nature of work to be performed) and travel (explaining the reason for the travel and breaking down the request into airfare, meals, and lodging rates). It is not necessary to itemize small amounts spent for supplies and materials. All AU purchasing, travel, and personnel guidelines must be followed, working with the appropriate budget officer in your school or college. Purchasing guidelines can be found at: <https://www.american.edu/finance/controller/university-accounting-policies-procedures-and-guidelines.cfm>

***If a project is funded, major changes to the budget must be approved by the VPR-DGS. Changes up to \$500 do not require VPR-DGS review and approval.***

Brief Itemization	Amount	Awarded
<b>Personnel</b> (AU staff or students and fringe benefits as needed)		
<b>Supplies and Materials</b> (Including films, tapes or DVDs, books, access to databases, specialized software, photocopying, printing, art materials, scientific and laboratory supplies)		
<b>Contracted Services</b> (Payments to independent contractors – non-AU employees – who provide specific services related to the research; cash or check payments to research participants)		
<b>Travel</b> (Use current AU guidelines for mileage and per diem; include dates, destinations, and purposes of all travel in budget narrative)		
<b>Purchased Services</b> (Including printing and binding, freight, advertising)		
<b>Other Expenses</b> (Non-cash incentives to research participants, refreshments for focus groups, parking fees for research participants)		
<b>Total</b>		

For more information about writable pdf forms and digital signatures, please visit <http://www.american.edu/provost/grad/pdfforms.cfm>

Revised September 25, 2018