

**University of Richmond
A&S Faculty Research Committee**

Purpose, Policies and Procedures

I. Purpose

The purpose of the A&S Faculty Research Committee is to provide financial support for the research and creative activities of full-time, tenure-stream faculty. Although the Committee aims to support the research and creative efforts of all eligible faculty, it gives the highest funding priority to the following individuals:

- New tenure-track faculty.
- Faculty whose research or creative work is of the highest quality and thus is most likely to lead to peer-reviewed publication or professional presentation.
- Faculty without a recent history of funding from the Committee.
- Faculty whose research or creative work cannot be funded by other sources.

Overview

Grant Categories

- A&S Faculty Summer Research Fellowships. Fixed-amount fellowships (\$6,000 or a standard amount set by the A&S Dean) to support faculty members' research or other creative work. Itemized budget not required in proposal. No summer school teaching or other employment allowed during time of grant. The on-line application for a fellowship includes a two page curriculum vitae containing relevant and recent publications and presentations. A&S Faculty Summer Research Fellowships can be distributed to faculty either as: 1) Summer Research Fellowship Stipend or 2) Summer Research Faculty Development. Faculty must choose only one of the two categories at the time of application. Thus, the whole amount of the fellowship must be taken only under one of the options.
- A&S Faculty Research Grants. Grants for varying amounts, usually under \$6,000, based on a detailed budget specifying costs of carrying out the project. The application process is like that for summer fellowships but with a completed budget section. The on-line application for a research grant includes two-page curriculum vitae containing relevant and recent publications and presentations. Note: Faculty are encouraged to seek

financial support from outside the University as well. For this purpose, they should consult the Office of Foundation and Government Grants.

- A&S Faculty Travel Grants. Grants to support travel to special or non-annual conferences and seminars and grants to supplement departmental funds for faculty making presentations at international conferences. A detailed budget and explanation of expenses for travel, food, and lodging costs are required. Please keep in mind that travel to libraries, archives, and other sources is normally funded through Faculty Research Grants.

Calendar and Deadlines

Deadlines for Fellowship and Research Grant proposals are announced early each semester; proposals must be submitted by the announced deadline day and time. The Committee meets at least once per semester to review these proposals and considers Travel Grant proposals on a rolling basis. A&S Faculty Summer Research Fellowships are awarded late in the fall term only. A&S Faculty Research Grants are awarded in the fall term and in the spring term, if sufficient funds are available. A&S Faculty Travel proposals are awarded in both the fall and the spring terms, pending available funds. Faculty should be aware that it has been the Committee's practice to expend a large portion of the funds for Research Grants in the fall term. Rejected proposals may be re-submitted in the spring, if there are remaining funds available.

II. Policies

Financial support for research or creative work is given in accordance with the policies and procedures formulated by the A&S Faculty Research Committee. Applicants should ensure that the current version of the "Faculty Research Committee Guidelines" (this document) is used in preparing an application for funding. The document is available at the A&S Policies website <http://as.richmond.edu/policies> (scroll down to "Research, Grants and Sabbaticals").

A. Examples of Research Activities Supported

The following list is not intended to be complete, and the order of listing carries no particular significance.

1. *Humanistic Studies*
Research projects in the humanities, including literary history and criticism, linguistic analysis, biography, and the editing and study of texts.

2. *Creative Arts Projects*
Performances, exhibitions, and specific projects in art, music, writing, and theatre.
3. *Scientific Experimentation and Analysis*
Research projects in the natural, mathematical, and behavioral sciences.
4. *Research Development*
Participation in research-related workshops, seminars, conference, institutes, and symposia not given regularly as courses or programs. The FRC does not fund activities primarily directed toward the enhancement of teaching.

B. Categories of Support for Research

1. *From the Committee's Annual Budget*

Three categories of financial support for research are available through the regular budget of the A&S Faculty Research Committee.

a. A&S Faculty Summer Research Fellowships

These fellowships provide funds to enable faculty to concentrate on research or creative work during the summer.

b. A&S Faculty Research Grants

These grants cover the expenses of conducting research or other creative activity. Specific items that may be financed are listed below. Financing is not necessarily limited to the items in this list, nor is the financing of items listed necessarily assured. Detailed budget is required.

(1) *Travel*

Research Grants, unlike Travel Grants, may fund travel to libraries, archives, and other special resources with needed material not otherwise accessible. Travel includes transportation, lodging, and meals, at thrift rates. The Committee generally does not fund living expenses beyond 4 weeks in duration.

(2) *Special Equipment and Supplies*

Items that normally would not be used for classroom or laboratory instruction. All equipment remains the property of the University.

(3) *Computer Facilities and Other Rental Fees*

Data sets, data base searches, equipment time.

(4) *Technical, Secretarial and Student Assistance*

General student assistance is not funded by the Committee; however, exceptions may be made for students whose skills are unique and indispensable to the project. Salaries and benefits should be in keeping with current University guidelines. Funds can be provided for clerical supplies and mailing expenses when these can be shown to be clearly in excess of what might reasonably be covered by departments.

(5) *Publications*

Mandatory page charges in refereed journals.

c. A&S Faculty Travel Grants

These Grants are for special, non-annual workshops, seminars, conferences, institutes, and symposia. Travel for other purposes may be funded by a Faculty Research Grant (see above). Travel to regularly held conventions and conferences, if located in the contiguous United States, is not funded by the Committee. Travel to regularly held conventions and conferences held outside the contiguous United States may be funded by the Committee if the following conditions are met:

- (1) The individual seeking such support must be presenting research or creative work at the conference.
- (2) The applicant must obtain, as a condition of the grant, funding for the travel (from departmental, university, or other independent sources) in an amount equal to or greater than the grant provided by the Committee.
- (3) In no event will the amount of the grant exceed \$1,200.
- (4) In recent practice, a faculty member has not received funding for a second travel award in the same fiscal year

unless a cap of \$1200 per applicant was not reached in the first travel award and there were sufficient funds remaining in the FRC budget.

- (5) Detailed budget is required, with explanation of expenses, including how travel costs were estimated.

2. *From Special Funds*

Based on applications to the A&S Faculty Research Committee, the FRC Chair nominates annually a candidate for the Maurice L. Mednick Memorial Fellowship. The fellowship, roughly \$2,000, is awarded as a result of competition among faculty members of institutions making up the Virginia Foundation for Independent Colleges. The fellowship is given mainly for work to be done during the summer or sabbatical leave. Subsistence is not included.

C. Eligibility for Award

1. Financial support in all categories is given only to full time and regularly appointed A&S faculty members of the University of Richmond who will be full time and regularly appointed faculty members of the University the year after the end of the grant or fellowship.
2. A&S Summer Research Fellowships are awarded only to faculty members with tenure and to those without tenure who occupy tenure-track positions.

D. Conditions Under Which Aid is Given

Certain understandings are necessary between the University and the recipient of financial support.

1. In general, The Committee does not reimburse expenses incurred before application and granting of a request, but it may do so in special circumstances. An example is an occasion when the Committee is unable to rule in time on a grant request submitted before incurrence of the expenditures.
2. Books, equipment, other permanent materials, and unused supplies become the property of the University. Books shall be given to the University Library; other items shall be included in the inventory of the departments concerned.

- a. The acceptance of all financial aid means the concomitant acceptance on the part of the faculty member of fiscal responsibility to the A&S Faculty Research Committee.
- b. The purpose of a full A&S Faculty Summer Research Fellowship is to permit the researcher to work on the funded project for the entire summer. Therefore, a recipient of a full A&S Faculty Summer Research Fellowship shall not engage in teaching or other gainful employment during the specified summer period for which the fellowship is awarded, unless this is an integral part of the funded research and the additional income is supplemental subsistence funding under II.D.c.
- c. Supplemental subsistence funding for the same project funded by the A&S Faculty Summer Research Fellowship is not prohibited, but such funding must be reported to the Committee. (University policy limits total summer subsistence funding to one-third of annual salary, regardless of source of funding.)
- d. Completion of the research project shall be expected within a reasonable period consistent with the nature of the project.
- e. The period of support for an A&S Faculty Research Grant is two years (see III. B. 4), and for an A&S Faculty Summer Research Fellowship it is the one-year period beginning with the day following the last official day of the spring semester, unless a shorter time is specified by the Committee.
- f. Any publication resulting from a Committee-supported project shall include the appropriate acknowledgement of assistance from the University of Richmond.

E. Evaluation

The A&S Faculty Research Committee will give each proposal for an A&S Faculty Summer Research Fellowship or an A&S Faculty Research Grant one of the following ratings based on the potential significance of the project's contribution to its discipline, the conception, definition and organization of the project, and its likelihood of completion.

1. Outstanding proposal – definitely fund

Every effort will be made to fund these proposals. In the event of high demand for support, however, a proposal rated outstanding might not receive funding if the applicant has received more Committee funding in the past three years than other applicants with proposals rated very good or outstanding.

2. Very good proposal – fund if possible

When resources are insufficient to fund all proposals in this category, any of the following conditions may be taken into account in determining which proposals receive support:

- a. Circumstances dictate that the project can be completed only within the period specified.
- b. Applicant has not been funded as recently or as heavily as other applicants.
- c. Applicant is on tenure-track.
- d. Applicant has strong record of scholarly achievement.
- e. Project is related to sabbatical.
- f. Applicant is making effort to return to research after long absence.
- g. Project shows promise of making a more significant contribution to its discipline than do other projects in this category.
- h. Proposal is stronger than others in this category in conception. Definition and organization of project.

3. Proposal needs revision – resubmit

- a. Resubmit for more appropriate type of grant, e.g., research instead of travel. (Committee will specify.)
- b. Budget needs reconsideration or more detail.
- c. Proposal needs clearer explanation of the project's potential significance, scope, and/or readership.
- d. Proposal needs more detailed description of the project.
- e. Pertinent information is missing, e.g., consent forms, dates, etc. (Committee will specify.)

4. Support not recommended

- a. Applicant has not completed previous research funded by the Committee
- b. Applicant has not filed the required report on a previous research project funded by the Committee.
- c. Proposal is inappropriate for A&S Faculty Research Committee's funding.
- d. Proposal's scholarly merit is doubtful.

F. Transferability of Funds within the FRC

Funds may be transferred from one category to another at the discretion of the Committee.

G. Committee Operations

The Committee shall inform the faculty annually of its purpose, policies, procedures, and activities.

III. Procedures

A. Application

1. The FRC uses an on-line application system which is available from the A&S Policies website: <http://as.richmond.edu/policies>. Please scroll down to the Research Grants and Sabbaticals subheading and select "A&S Funding Applications System." A secure login provides access to one of three FRC application forms: one for A&S Faculty Summer Research Fellowships (both stipend and professional development requests use the same form), one for A&S Faculty Research Grants, and one form for A&S Faculty Travel Grants. Please make sure you submit the correct application form.
2. A separate application shall be submitted for each project for which a grant is requested.
3. An application may be submitted individually by a faculty member or jointly by two or more faculty members when they plan to work together on a project.
4. An applicant for an A&S Faculty Summer Research Fellowship with research expenses beyond subsistence who does not receive a Summer Fellowship because of lack of funds is encouraged to apply for an A&S Research Grant to cover those expenses. The recipient of an A&S Faculty Summer Research Fellowship likewise may apply for an A&S Faculty Research Grant.
5. When matching funds are involved, application in some cases must be made well in advance of the time for which the aid is requested. This time may involve as much as a year.
6. Because funds not expended within a biennium revert to the University, items of expense on any one application should be projected for a maximum of two successive fiscal years.
7. Faculty working on long-term projects may apply for continued support. A separate application must be submitted for each period of support.
8. When an application has been acted upon by the Committee, the Chair of the Committee will notify the applicant in writing as soon as possible of the action taken. Notice of applications approved, project title, and amount of funding is sent also to the Vice President for

Business and Finance and the recipient's Dean and departmental Chair.

B. Disbursement

1. Summer Fellowships distributed as stipends are paid through the Payroll Office. For Research Grants, Travel Grants, and Summer Fellowships distributed as a "professional development fund" (instead of stipend), the Accounting Office will notify grant recipients of their index and account code.
2. Faculty should be aware that the Accounting Office sets an expiration date on all accounts for Research grants and Travel grants. When using funds over an extended period of time, please be aware of this date and request extensions, if necessary, in a timely manner. The Committee cannot insure that expired grants will be recoupable. Funds authorized but not used within the period of support must be returned to the University.
3. The Office of the University Purchasing Agent may be used to facilitate purchase of equipment and supplies whenever it is more economically feasible to do so.
4. An A&S Faculty Research Grant must be expended in accordance with the approved application within two years beginning June 30 following the date of the award. Any deviation in any single item of research expense that amounts to \$200 and over as stated in the application and as approved by the Committee must be reported to the Committee for approval before the item is purchased or the expenditure made.
5. All requests for reimbursements, including travel, require appropriate supporting documentation and an approval signature from the Associate Dean for Research support in the A&S Deans Office (Kathy Hoke). Original receipts must accompany the form and be taped to an 8 ½ x 11 sheet of paper. Note: Accounts Payable will not accept receipts that are more than 90 days old. Forms and disbursement information are available from the Accounting Office web sites:
<http://controller.richmond.edu/accounts/forms.htm>
6. Travel: All reimbursements for travel must be submitted on the "travel/expense form" which is available to A&S faculty on BannerWeb. The Accounting Office will notify grant recipients of the index and account code. This account number must be included on the "travel/expense form". The funds for which travel has been approved may also be requested in advance of travel.

7. For payments made directly to a vendor, the faculty grant holder supplies the account code and sends the invoice to Accounts Payable.
8. Departmental Purchasing cards may be used to purchase supplies and other appropriate items for a research grant provided that those items are charged properly through Banner (i.e. to the research grant index), and that their chair approves payment for the card charge. Records of such purchases should be maintained within the department office until the annual financial reports are filed and accepted.
9. The recipient of an award who leaves the University of Richmond shall return to the Committee all funds not expended upon the termination of contract. In the case of the academic year, this means the day of the University faculty meeting after Commencement.

C. Reporting Procedures

Reporting procedures are explained in the award letter and are available on the A&S Policies website under the subheading “FRC Reporting Procedures” <http://as.richmond.edu/policies/faculty-research-reporting-procedures.html>

All recipients of awards in A&S must complete two reports annually throughout the term of the grant: (1) a Progress/Results Report and (2) a Financial Report. In the case of travel grants, faculty may choose to combine a results and financial report in one document. Recipients of Summer Fellowships who choose a stipend instead of a professional development fund are exempt from filing a financial report. Reports for travel grants must be filed no later than 30 days after the travel date. Reports for research grants must be filed no later than 30 days after the deadline of research grant.

1. A Progress/Results Report must be submitted to the Chair of the Faculty Research Committee, the Associate Dean for Research Support, and the Office of Foundation, Corporate & Government Relations. This report documents the scholarly, creative outcomes derived from the grant support.
2. A Financial Report must be filed with the A&S Dean’s Office (Kathy Hoke, Associate Dean for Research). The financial statement should indicate expenditures in standard categories. The main purpose of this report is to have, in one place, a summary of how the funds were spent. In the case of a travel grant, if only one reimbursement form is being submitted, a copy of the Travel & Expense form will suffice. **Important:** For travel grants requiring matching funds, please show the source of the matching funds on the Financial Report.
3. At the end of the summer, all recipients of Faculty Summer Research Fellowships will certify in writing to the Vice President for Business

and Finance that they have not engaged in teaching or other gainful employment during the summer period of the fellowship except to the extent permitted in accordance with this statement (see II.D.b).

4. A copy of the publication resulting from research shall be deposited in the University Library without cost to the University.

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