FACULTY RESEARCH

University of Richmond
A&S Faculty Research Committee

Purpose, Policies and Procedures
(Revised February 2016)

I. Purpose

Faculty Research Committee* Charge: The purpose of the A&S Faculty Research Committee is to provide merit-based 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 funding priority to members of the following groups (the order of the list carries no particular significance):

a) New tenure-stream faculty;

b) 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;

c) Faculty without a recent history of funding from the Committee;

d) Faculty whose research or creative work cannot be funded by other sources.

Overview

Grant Categories

• A&S Faculty Summer Research Fellowships are fixed-amount merit-based fellowships ($6,000 or a standard amount set by the A&S Dean) to support faculty members’ research or other creative work. An itemized budget is not required in the application. No summer school teaching or other employment is allowed during the grant period. The online 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 as either a: 1) Summer Research Fellowship Stipend (i.e., paid as salary to the individual faculty, see below Disbursement, 4) or 2) Summer Research Faculty Development Fund (i.e., funds will be directly deposited into the Faculty Development Fund or FDA, see below Disbursement, 4). 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 are grants for varying amounts, usually under $6,000, based on a detailed budget that specifies costs of carrying out the project. The application process is like that for Summer Fellowships but with a
completed budget section. The online application for a research grant includes a two-page *curriculum vita* 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, Corporate and Government Grants.

- **A&S Faculty Travel Grants** serve two primary purposes. The first and most common purpose is to support travel to present at international conferences and seminars. The second and less frequent purpose is to support travel to special or non-annual domestic conferences, seminars and workshops. 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.

1. A&S Faculty Summer Research Fellowships are awarded late in the fall term only.

2. A&S Faculty Research Grants are awarded in the fall primarily but can also be awarded during the spring term if funds remain available. Note: fall rejected proposals may be re-submitted in the spring.

3. A&S Faculty Travel proposals are considered on a rolling basis until all funds are allocated. Applicants are strongly encouraged to submit travel requests at least one month before the date of the conference; applicants submitting within 30 days before traveling should justify the short period given to FRC to review their application. Travel requests made during or after the conference event took place will not be accepted.

**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://asadmin.richmond.edu/scholarship/faculty-research-support/](http://asadmin.richmond.edu/scholarship/faculty-research-support/)

**A. Examples of Research Activities Supported**
The following list should be used for example purposes only and should not be considered complete or ordered by 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 creation of 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 merit-based fellowships provide funds to enable faculty to concentrate on research or creative work during the summer. Fellowships can be taken either as a:

   1) **Summer Research Fellowship Stipend** is added directly as taxable income to the June 1 faculty paycheck. Faculty that had not received Summer Research Fellowship Stipend in the three previous consecutive years would have higher funding priority;

   2) **Summer Research Faculty Development Fund** is an untaxed research account from which faculty may be reimbursed for research-related expenses. These funds will be directly deposited into the faculty FDA and follow FDA regulations.

   Note: 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.

   b. **A&S Faculty Research Grants**

   These grants cover the expenses of conducting research or other creative activity. Examples of items that may be funded are listed below. Funding is not necessarily
limited to the items in this list, nor is the funding of items listed necessarily assured. Detailed budget is required. Research grant funds will be directly deposited to the faculty FDA and follow FDA regulations.

(1) **Travel.** Research grants may fund travel (including funding for transportation, lodging, and meals at rates within reason) to libraries, archives, and other special resources with needed material not otherwise accessible. The Committee generally does not fund living expenses beyond 28 days in duration. Travel grant funds will be directly deposited to the faculty FDA and follow FDA regulations.

(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, database searches, unique/special software, 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.** Page charges for publication in refereed journals may not be requested from FRC.

c. **A&S Faculty Travel Grants**

These grants may cover the following travel situations: 1. International travel to present at regularly held conventions and conferences. 2. Domestic travel to special, non-annual research-related events, such as workshops, seminars, conferences, institutes and symposia. Note that the Committee does not fund travel to regularly held conventions and conferences located in the contiguous United States. Travel related to collection of research materials or resources should be funded by a Faculty Research Grant (see above).

The maximum amount of the travel grant will not exceed $1600 per faculty during a fiscal year.

Additional notes:
(a) In most cases, a faculty member will not receive a second travel award during the same fiscal year unless the combined travel awards do not exceed the $1,600 cap, and/or there are sufficient funds remaining in the FRC budget.

(b) A detailed budget that includes explanation of expenses and how travel costs were estimated is required.
C. Eligibility for Award

1. Financial support in all categories is given only to full time, tenured or tenure-stream A&S faculty members of the University of Richmond who will be full time faculty members of the University the year after the end of the grant or fellowship.

D. Conditions of the Award

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.

3. The acceptance of all financial awards means the concomitant acceptance on the part of the faculty member of fiscal responsibility to the A&S Faculty Research Committee.

4. The purpose of a full A&S Faculty Summer Research Fellowship is to permit the researcher to work on the funded project for 10 weeks of dedicated summer work. 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.5. Exceptions to this rule are made for workshops, conferences, or other similar events lasting a week or less and for the following specific cases:

   a. First Year Seminar Workshop. Faculty may participate in, and receive compensation for First Year Seminar Workshops in addition to a Summer Research Fellowship.

   b. Mentoring Stipends. Faculty may receive stipends from the A&S Dean’s office for supervising undergraduate research over the summer in addition to a Summer Research Fellowship.

5. Faculty members with external salary support for the summer that is equal to or greater than $6,000 are not eligible for Summer Research Fellowships. Faculty members with external salary support of less than $6,000 for the summer are eligible to apply for Fellowships to make up the difference.
6. Faculty members with external salary support for the summer are eligible to apply for Research and Travel awards. Such a Research Grant, however, should be for some aspect of a faculty member's research not currently supported by external funding (for example, a pilot study for a new project, development of new collaboration, or other costs associated with development of new proposals for external funding). Faculty with questions about eligibility are encouraged to contact the Chair of Faculty Research Committee or the Associate Dean of Research Support before applying.

7. Completion of the research project shall be expected within a reasonable period consistent with the nature of the project. A&S Faculty Research Grants and Summer Research Fellowships follow FDA guidelines (see below Disbursement, 4).

8. All summer fellowship and research grant recipients’ reports shall be submitted within the application form of next grant request submission.

9. All publications, and other forms of outcomes dissemination, resulting from a FRC-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 funding priorities 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-stream.
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 (e.g., submit to PETE).

d. Proposal’s scholarly merit is not competitive.

F. Disbursement

1. The University Office of Strategic Sourcing and Payments (aka Purchasing) may be used to facilitate purchase of equipment and supplies whenever it is more economically feasible to do so.

2. All awards from FRC, except Summer Research Fellowship as Stipends, follow FDA guidelines (see below Disbursement, 4)

3. The funds for which travel has been approved may be requested in advance of travel.

4. The guidelines of the FDA A1 are being developed. You should have received the overall description of FDA A1 in an email from Dean. Kathleen Skerrett (July 28, 2015), copied below for your information.
The Office of Planning and Budget is working with us to consolidate professional development accounts in Arts & Sciences. We anticipate that the new approach will give individual faculty members greater flexibility and authority over the use of funds that have been allocated to you. We have begun conversations with faculty committees to align A & S policies with this new approach. From my perspective, when this project is complete, faculty members will have increased authority over your accounts at the same time we streamline our accounting procedures.

In our new system, each faculty member is assigned one Faculty Development Activity (FDA) with an index beginning with A1. All of your current unrestricted professional development indices have been rolled into your new FDA. This includes, for example, funds allocated from the A & S Dean’s Office, the Faculty Research Committee, the Undergraduate Research Committee, or other programs such as the Center for Civic Engagement or PETE. It also includes professional development funds associated with your service, such as department chair or program coordinator. Any future allocations or awards to your Faculty Development Activity account will co-mingle with these funds. If there were formerly expiration limits on your professional development funds, these limits no longer apply in your new FDA.

Faculty Development Activity A1 indices will be sent out to faculty, who have professional development funds, within the new few weeks. Once you have received your A1 FDA index, you will be able to use your funds to support your faculty development activities. If you are uncertain of authorized use, please contact the A & S Budget and Operations Director, Terri Weaver. Terri Weaver must approve all expense reports for compliance with University policies.

You should continue to submit expense reports in compliance with A & S policies and University policies. You should continue to submit any activity reports required by an A & S committee or other department. The Faculty Research Committee and the Undergraduate Research Committee will be reviewing their policies to align with this new approach. I anticipate that we will talk more about these policies in September.

Please note the following funds are not included in your FDA: funds associated with external grants; funds associated with endowments or other restricted accounts; funds associated with original start-up funds; or funds awarded as salary, such as stipends. If you have questions about these exclusions from your FDA, please contact Terri Weaver at tweaver2@richmond.edu.

G. Allocation of Funds

The FRC apportions its budget between Research Grants and Travel at its discretion.

H. 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 online application system, which is available here: http://asadmin.richmond.edu/research/faculty-research-support/application-process.html. To apply, login with your UR netID and password, select “Create an application” from the menu on the left, select “A&S Faculty,” then select one of the three FRC application forms (Research Grant, Summer Research Fellowship, or Travel Grant). Note that the Summer Research Fellowship application uses the same form for both stipends and professional development.

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. Faculty working on long-term projects may apply for continued support. A separate application must be submitted for each period of support.

6. 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.

7. Reporting procedures are explained in the award letter and are available at http://asadmin.richmond.edu/research/faculty-research-support/reporting-procedures.html.

8. 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 (e.g., in the case of the academic year, this means the day of the University faculty meeting after Commencement). This numeral is interesting and relevant. I think this is above the FRC pay grade, meaning that FRC must adhere to overall Universities policies that apply in cases of faculty departure. My advice is we will seek advice from the Dean. Any other suggestions?

B. Disbursement

1. In the case of A&S Faculty Research and A&S Faculty Travel Grants, the Vice President for Business and Finance will automatically deposit the entire sum of the research or travel award in the faculty FDA.

2. In the case of A&S Faculty Summer Research Fellowships, the Vice President for Business and Finance will disburse the entire sum of the Fellowship in the June 1
paycheck for faculty who opted for the Summer Research Fellowship Stipend category; whereas the Vice President for Business and Finance will automatically deposit the entire sum in the faculty FDA for those faculty who opted for the Summer Research Faculty Development Fund category.

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

At the end of the summer, all recipients of Faculty Summer Research Fellowships will certify in writing to the Dean of Arts & Sciences 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.).

FRC Guidelines 2016

**REPORTING PROCEDURES**

All recipients of Arts and Sciences FRC are responsible for reporting back to the School of Arts and Sciences on the results and/or outcomes of their grant. Brief reports will be including at the time of the faculty next online application to FRC funding.

**Reimbursement and Payment Procedures**

- **Documentation.** All requests for reimbursements, including travel, require appropriate supporting documentation and an approval signature from the School's associate dean for research support. Original receipts must accompany the form and be taped to an 8 ½ x 11 sheet of paper.

  **Notes:**

  (a) Accounts Payable will not accept receipts that are more than 90 days old. Disbursement information and forms are available from the Accounting Office.
  (b) Reimbursement for supplies, materials, etc., the requestor must complete and submit an on-line check request.
  (c) For travel reimbursement Accounts Payable does not accept check requests. All travel reimbursements must be requested online by completing the travel/expense report found on BannerWeb.

  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 the 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.