

## **Ohio University Research Committee**

### **OURC Awards, Request for Proposals**

#### **Academic Year 2011-2012 Review Cycle**

#### **Receipt Deadline:**

**Fall Cycle: 4:00 p.m., Thursday, October 06, 2011**

**Winter Cycle: 4:00 p.m., Thursday, January 26, 2012**

#### **STATEMENT OF PURPOSE**

Ohio University is committed to research, scholarly and creative works and activities. Through the Ohio University Research Committee (OURC), the University makes funds available to faculty and staff as seed money for new projects and support for projects where no other funding is available or where a special funding need has developed. Priority is placed on supporting faculty who are new to Ohio University. Because funds are limited, the Committee must necessarily limit the scope and size of its awards. For projects on which progress has been made, investigators should consider an application to the Baker Fund.

#### **ELIGIBILITY**

Faculty and contract administrative staff at all Ohio University campuses are eligible to submit proposals in any field of study. OURC awards are primarily for Group I and Group II faculty and full-time permanent contract administrative staff. Grants to Group III and Group IV faculty will be considered by the Committee in exceptional cases; contact the Chair of the OURC prior to submission of the application.

Only those projects that focus primarily on research, scholarship and creativity and do not relate primarily to teaching, personal or professional development, or administrative functioning are eligible. Requests for project support during a faculty fellowship leave are eligible. The OURC will not consider a project that is part of an advanced degree program of the applicant, that seeks to develop curriculum or buy instructional equipment, or that seeks to further an administrative function of a department, college, or other University administrative unit. An individual may submit only one proposal to the OURC in any cycle as a principal investigator or co-investigator. Investigators may not hold consecutive OURC awards. Proposals that were unsuccessful on the first submission can be resubmitted two additional times (initial submission plus two).

#### **REVIEW AND EVALUATION/SELECTION CRITERIA**

Proposals will be reviewed by the OURC with the assistance of persons at Ohio University or elsewhere who have expertise in the area of proposed study. The scholarly, technical, or artistic merit of a proposed project is the primary criterion used by the Committee for evaluation of proposals. In addition the following criteria, as well as other factors as special circumstances dictate, are considered in the review of proposals.

1. The applicant's training, past performance record, and estimated potential for future accomplishment.
2. The probability that the proposed activity will lead to significant contributions to the field.
3. The probability that successful completion of the project will enhance the reputation of the applicant and of Ohio University in the larger community of scholars.

4. Evidence that, when possible, the applicant has sought or will seek other sources of support outside the University.
5. Evidence, when applicable, that funding is not a duplication of other internal or external funding.
6. The applicant's history of previous OURC awards and the final report(s) of such awards.

**PROPOSAL PREPARATION GUIDELINES**

**These guidelines supersede previous versions.** Please review the guidelines before submitting a proposal. Very meritorious proposals are often not funded because these guidelines are not followed and information needed to make an objective decision is not available to the Committee.

The OURC provides support for research and scholarly and creative activities for 12 months following notification. (Notification: December for Fall Cycle; April for Winter Cycle proposals). Funds will be available by January 1 for Fall Cycle and July 1 for Winter Cycle.

The following sections **must be double-spaced and use standard size 12-point type** that is clear and legible: the abstract, introduction, new project description, discussion, and glossary/definition of terms. Figure, charts, tables and figure legends and footnotes in these sections may use a smaller font size and may be single-spaced but **must** be clear and readily legible. Margins **must** measure one inch (1") or greater on all sides.

All other sections: bibliography sections, biographical information, budget and justification, and appended materials may be single-spaced in a legible typeface. Margins should measure one inch (1") or greater on all sides.

**\*\*Please Note: Proposals that do not conform to these format requirements will be returned without review by the Committee.\*\***

The goal of the requirements for type size, spacing, and margins is to provide legible documents of roughly similar length. The use of unusual typefaces defeats the goal the Committee hopes to achieve.

Questions concerning the proposal preparation process should be directed to Eleni Zulia, Office of the VP for Research, 101 RTEC, Ohio University, Athens, OH 45701-2979, Phone: 740-593-0929, E-mail: [zulia@ohio.edu](mailto:zulia@ohio.edu).

**PROPOSAL SECTIONS**

Pages should be numbered to facilitate the review process. The proposal should be securely stapled in the upper left hand corner and assembled in the following order:

- |  |                        |
|--|------------------------|
| 1. Cover page  | use OURC form          |
| 2. Checklist   | use OURC form          |
| 3. Abstract*   | 1 double-spaced page   |
| 4. Introduction ( <b>For Re-submissions Only</b> )*                                  | 1 double-spaced page   |
| 5. New Project Description ( <b>For Established Applicants Only</b> ) <sup>†</sup> * | 1 double-spaced page   |
| 6. Discussion  | 10 double-spaced pages |

7.	Glossary/Definition of Terms* ( <b>Not required</b> )	2 double-spaced pages
8.	Bibliography ( <b>Not required</b> )	3 pages
9.	Biographical information ( <b>Applicant(s) and key personnel</b> )	3 pages per person
10.	Other Support ( <b>Applicant(s) and key personnel</b> )	1 page per person
11.	Budget and Justification	no limit specified
12.	Appended Materials	10 pages; no more than 10 minutes of footage
13.	Recommended reviewers	5 required

Sections marked with an asterisk (\*) identify text sections that should be written in language understandable by an informed layperson to assist the Committee in its review.

Established applicants (+) are faculty members who have tenure and have been at the university at least three years or administrators who have been at the university at least five years.

**\*\*Please note: Proposals that do not conform to these section requirements will be returned without review by the Committee.\*\***

### **1. Cover Page**

Prepare a cover page (see Word and PDF versions below). Signatures **must** be obtained by the applicant and are required only on the original copy. The cover page **must** be the first page of the proposal. Do not provide any other covers or binders.

### **2. Checklist**

Prepare and sign the OURC checklist (see Word and PDF versions below). The goal of the checklist is to affirm that all the sections have been included and are compliant with formatting guidelines.

### **3. Abstract**

The abstract is an important section of the proposal that contains information used by the Committee to evaluate the proposal. The abstract should include a brief description of the nature of the research, importance of the results, and a brief overview of how it will be done, including the time frame. To accommodate the varied backgrounds of the Committee, the abstract should be written in **language understandable by an informed layperson**. Avoid the use of discipline-based jargon in the abstract.

### **4. Introduction (For Resubmissions ONLY)**

All revised, resubmitted applications **must** include an introduction. Summarize any substantial additions, deletions and changes that have been made. The introduction may include responses to criticisms of the previous application. If appropriate, highlight these changes within the text of the Discussion by appropriate bracketing, indenting or changing of typographical appearance or style. Do not underline or shade changes or use multiple typefaces. If an applicant includes this section for new submissions, it will count towards the page limit of the Discussion section.

## **5. New Project Description (For Established Faculty ONLY)**

Established applicants, defined as faculty members who have tenure and have been at the university at least three years or administrators who have been at the university at least five years, **must** complete this section. If a non-established applicant includes this section, it will count towards the page limit of the Discussion section.

Established applicants who are proposing new or pilot projects to the OURC for funding **must** provide a brief description of how the proposed project is a departure from on-going or previous research foci. In addition to this section, the full proposal should be focused on the new project. Unlike other agencies, the proposal **must** demonstrate a break with past work rather than continuity with previous scholarship.

Often it is not apparent to Committee members that the project is:

1. a new direction (a change in theoretical or methodological approach or topic/subject area);
2. a pilot for a larger study being initiated by the investigator; or
3. support for the collection of additional data indicated as necessary by a funding agency for a successful proposal or before external funds will be made available.

Rather, the work proposed seems to be a continuation or "next logical step" in the investigation and not responsive to one of the OURC's stated objective – to provide "seed money for new projects." OURC funds should not be considered as bridge-funding.

**Please Note:** The intent of this section is to provide the applicant with an opportunity to describe or advocate funding by describing the important and unique character of the proposed project. It is important to explain how the work is a new direction or how the proposed project departs from previous, apparently similar work performed in the past. A "new direction" may include the use of a technique new to the applicant that will offer new or unique insight; or it may involve a new subject area or theoretical model that will make a new contribution. The Committee will be confused by proposals that describe or draw on substantial aspects of previous work or seem, by its title or subject, to be continuations of previous work.

## **6. Discussion, Including Methodology and Statistical Procedures**

The discussion section of the proposal should clearly deal with questions of methodology, procedures, and interpretation of results in terms of a peer-group communication. Many otherwise meritorious proposals are rejected for failure to deal adequately with these questions. This section should answer the following questions.

1. What do you intend to do?
2. Why is the work important?
3. What has previously been done in the area?
4. How will the work be done?

A possible format for this section is:

**A. Specific Aims.** Describe precisely what will be accomplished in the work. If the proposed project is part of a larger work, clearly identify that portion of the project to be completed under the OURC award. The hypothesis or premise of the research or creative activity should be stated.

**B. Significance.** Outline background to the project and why the proposed work is important and relevant to previous work. Indicate how the results will be disseminated. If appropriate, indicate how the work proposed represents a new direction or new endeavor for the investigator and/or discipline.

**Please Note:** The contribution of the proposed project to the discipline and the research goals of the applicant are important criteria considered by the Committee. In a similar manner, how the results of the project are to be disseminated at the conclusion is a critical component in determining contribution. Knowledge gained through project activities that is not disseminated through means of articles, performances, etc., cannot make a contribution.

**C. Preliminary Studies of Applicant.** Provide an account of the applicant's previous studies or work in the area, which will document expertise in the proposed area of study.

**D. Methods.** Whether the field is artistic, scientific, or humanistic, the specific actions needed to successfully complete the project should be detailed. The methodology should be clearly related to the proposed specific aims and hypothesis or premise. Facilities, subjects, and records to be used should be described and the extent to which their use has been assured should be included under this heading. Test instruments, questionnaires, survey forms, letters of consent, etc., and technical drawings of equipment should be included in the "Appended Materials". Training in new techniques may be a necessary part of project activities but should not be the focus of the OURC support. The Committee makes a distinction between personal or professional development and training that is incidental to, but a necessary part of, a research project. For many projects, the inclusion of a timeline is helpful to describe the interdependence and/or the timing of the project tasks.

**E. Collaborations:** If the work proposed is a collaboration among researchers at Ohio University or colleagues at other organizations, describe the role and expertise of the collaborators. If student support is requested, describe the role of the students on the project as well.

**F. Confidentiality:** If the proposal discloses ideas, practices or processes for which patent protection will be or is being sought, the word "Confidential" should be placed at the top and bottom of each page which contains such information. Also, the following statement should be placed on the cover sheet immediately above the signature section.

"The data contained in this proposal is confidential and proprietary and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the proposal without the written permission of the author. Permission is hereby granted to the Ohio University Research Committee to evaluate this proposal in accordance with its normal procedures, which may include evaluation by evaluators both within and outside the University with the understanding that written agreement not to disclose the information shall not be required of or obtained from any such evaluators. This restriction does not limit the right of any such evaluators to use information contained in this proposal if it is obtainable from another source without restriction."

## **7. Glossary or Definition of Terms (If appropriate)**

Some disciplines use acronyms and/or terms that can be unfamiliar or unusual to a informed layperson. A short glossary or set of definitions can be helpful for reference purposes. An applicant is not required to include a glossary but may consider it for ease of reading and enhancement of comprehension.

## **8. Bibliography**

A short bibliography should be presented whenever appropriate for the proposed activity. A carefully selected bibliography can strengthen a proposal by indicating to the reviewer that the applicant is aware of significant and current literature in the field. If appropriate to the discipline, an annotated bibliographic essay may be prepared but should include sufficiently detailed citations for the references listed. Bibliographies which are obviously lifted en-bloc from a dissertation or other publication are a disservice to the proposal.

## **9. Biographical Information**

Include biographical information for the applicant(s) and key personnel. Name, highest academic degree, position and duration at the University, other professional positions and terms of service, experience, publications and accomplishments of the applicant should be provided in this section. Under the Publications heading, list only papers which have been published, are in press, or have been submitted for publication and are under consideration by the publisher. Papers presented, as well as abstracts, should be listed under a Paper Presented heading, not under Publications. Do not list memberships, participation in workshops or conferences, courses taught, scholarships, or committee memberships unless they have relevance to the proposed study or project.

## **10. Other Support**

List all previous university research awards, including OURC grants, granted within the last three years. Include sponsor, title or project, date of award, dollar amount, and outcomes, including presentations, exhibitions, publications, and federal funding.

List all proposals submitted to outside agencies for this or any other research project within the past three years. Include sponsor, title or project, date of award, dollar amount, and outcomes, including presentations, exhibitions, publications, and federal funding. If the proposed work is part of a long-range study or effort, indicate potential sponsors for continuation support.

Provide a brief description of support received from college and department sources, including all start-up funds (from any source), college project support, etc., within the last three years. List all funds available to the program, including university programs like Research Incentive, Research Challenge, and continued support from the department and/or college.

**Please Note:** One criterion for funding from OURC is "for projects where no other funding is available." Therefore, evidence that the requested funding is not a duplication of external or internal funding **must** be provided. The Committee is interested in efforts made by the principal investigator/project director to find external support for the project. Often proposed projects receive high or meritorious ranking by an agency but are not funded because of limited funds. Please indicate the ranking or response of the agency if that information is readily available.

## **11. Budget and Budget Justification**

***Budget expenditures encumbered before the award date will not be reimbursed.***

This section should include the breakdown of the budget by line items, total budget request, sources of matching funds, and budget justification. Funds may be requested for student wages, equipment, supplies, travel, and other bona-fide project expenses. All fund requests that will be covered from sources other than the OURC should be clearly identified.

- The maximum award is \$8,000.
- No more than 50% of the budget may be allocated to personnel, including student wages.
- The budget should provide a breakdown of individual budget items. For example, applicants should provide a list of research supplies and delineate travel as ground transportation, airfare, parking, etc. Applicants should show the total cost and cost per unit (e.g., hotel cost x number of nights). Without sufficient details, funding may be reduced by the Committee.
- All budgetary items should be justified as to their relevance to the project. Without sufficient justification, items may be eliminated by the Committee.
- Travel support for attendance at conferences, short courses, and symposia is not allowed.

Categories of budget items include:

**A. Consumable Supplies:** Enter dollar amount of requested funds. Provide adequate detail so that a person knowledgeable in the field of the proposed research may make an assessment of the reasonableness of the request. If the budget item is a common consumable supply generally available in most laboratories, offices, or studios, please justify the purchase with OURC funds.

**B. Travel:** Enter dollar amount of requested funds. In the Detailed Budget, travel expenses **must** be broken down into transportation, meals, and lodging categories, and the basis for the figures must be provided. Travel support will be provided only for the furtherance of the proposed project. The Committee does not provide support for attendance at short-courses, symposia and conferences or other activities of a professional development nature. Costs for a passport, visa or immunizations are ineligible. Where appropriate use the OU Travel Reimbursement Policy 41.121 to determine limits on travel expenses.

For domestic travel: Meal expenses will be reimbursed as per the U.S. General Services Administration per diem rates, [www.gsa.gov/perdiem](http://www.gsa.gov/perdiem).\* Federal employees are only eligible for 75 percent of the total M&IE rate for the location to which they are traveling on the first and last day of travel; all other days are reimbursed at 100% the rate.

For foreign travel: Meal expenses and hotel rates will be reimbursed as per the U.S. Department of State per diem rates, [http://aoprals.state.gov/content.asp?content\\_id=184&menu\\_id=78](http://aoprals.state.gov/content.asp?content_id=184&menu_id=78).\*

*\*unless the applicant stipulates a lower reimbursement through the Concur system.*

**Please Note:** Hotel and airfare must be booked using a p-card and the Concur system. If the vendor does not accept the p-card, then you may pay for the expense out of pocket and be reimbursed through the Concur system.

**C. Student Wages:** Student hours and hourly rates of pay should be justified based on the nature of the work being done by the student. Extraordinary rates of pay will not be funded without a detailed justification. The Ohio minimum wage, last increased in January 2011, is \$7.40 per hour. **Support for students should be requested in the form of hourly wages and numbers of hours of work or quarterly stipend and percentage of effort. Support does not include a tuition fee waiver.**

Describe how the hourly rate is determined (what basis is used for the rate). The role and/or task of any personnel on the project should be defined in the justification and/or the discussion section. This explanation is particularly true for the graduate students employed on the project. The role of graduate

students in the project should be clearly defined.

**Please Note:** No more than 50% of the budget may be allocated to personnel including student wages.

**D. Equipment:** All major items of equipment, including computers, which are to be purchased with OURC funds, should be listed with the estimated cost of each item and components of each item if applicable. Because of limited funds available to the Committee, requests for equipment should be made only after a conscientious search has been conducted to determine whether this equipment is already on campus and available through a loan or share arrangement. The duration of use/% time used, project-based activities supported and inability to secure through other resources should be addressed. For computers, the specifications and capabilities must be stated and justified. Any equipment purchased with OURC funding is the property of Ohio University.

**E. Faculty Stipend:** Funds may be requested to pay for release time during the academic year. No more than 50% of the budget may be allocated to personnel including student wages. Academic year release time is provided on a replacement cost basis using established [2011-2012 Overload and Part-Time Teaching Rates](#); i.e., Professor \$886/hr., Associate Professor \$826/hr., Assistant Professor \$753/hr., and Instructor \$709/hr. Fringe benefits should be calculated on the salary, as appropriate. The current fringe benefit rates can be found at: <http://www.ohio.edu/finance/bpa/benefit.cfm>. If release time is requested, a letter from the chair **must** be included that states that the release time will be approved.

**Please Note:** The Committee considers academic-year release time a low priority, but requests will be considered under certain circumstances. As with all categories of support, a careful justification should be written that supports the need for release time.

**F. Other:** Costs for publication page charges, reprint costs, and printing services for posters are not eligible for payment with Committee funds. The Committee does not normally provide funds for secretarial services.

**G. Total:** Enter total dollar amount requested. The total requested may not exceed \$8,000.

**Please Note:** No budget expenditures encumbered before the award date will be reimbursed.

## **12. Appended Materials**

**All appended materials must be submitted electronically as part of the electronic application unless otherwise approved by the Director of Grant Development and Projects prior to submission.** The appendix is an appropriate place to provide copies of test instruments, questionnaires, or survey forms that will be employed. Examples of the applicant's previous work, including photographs or film footage (no more than 10 minutes), may also be included; their relevance to the proposed work should be explained. Proposals that involve the collaboration of others should include a description of the collaborator's role and responsibilities as part of the Description section. Documentation of their availability and acceptance of their participation as described in the proposal should be included in the Appendix. All materials included in the Appendix should be referenced in the Discussion section.

**Please Note:** The inclusion of numerous preprints and reprints as appendices is not necessary and is discouraged. These documents are rarely read by members of the OURC.

### **13. List of Recommended Reviewers**

Proposals will be reviewed with the assistance of persons who have expertise in the area of proposed study. The applicant **must** supply the names of **five persons who are not affiliated with Ohio University** and are qualified to review the proposals. The applicant **must** provide *current phone and facsimile numbers, address, and E-mail address* for all reviewers. A brief description of each reviewer's expertise and a statement describing the relationship, if any, to the applicant/application should also be included. The OURC is not bound to solicit reviews from recommended reviewers and may, at its discretion, ask for reviews by other persons.

**Please Note:** The OURC strongly discourages the listing of mentors, former advisors, current or former collaborators or co-authors, and students. Applicants are expected to identify reviewers who will offer an unbiased critique of the project. Remember that external reviews offer an opportunity to learn how especially knowledgeable individuals in their field evaluate the proposed activity. Often these or similarly knowledgeable individuals will review proposals for an external agency the applicant intends to approach for funding in the future. By nominating unbiased, knowledgeable reviewers, the applicant has an opportunity to preview their potential criticisms and so prepare a more competitive extramural application. Committee members recognize that some sub-disciplines can be small enough that identifying "unbiased" reviewers poses a significant challenge, but every effort should be made to avoid the use of reviewers who have had a significant professional relationship with the applicant.

### **PROPOSAL SUBMISSION**

Submit one (1) original hard copy (with required signatures) **and one electronic copy\*** of the proposal (signatures not required) to: Eleni Zulia, Office of the Vice President for Research, 101 Research and Technology Center, Ohio University, Athens, OH 45701-2979, Phone: 740-593-0929, E-mail: [zulia@ohio.edu](mailto:zulia@ohio.edu)

Proposals must be received no later than 4:00 P.M. on the deadline date.

\*Electronic copies **must** be submitted as a **single file** in Adobe Acrobat format (Mac users must include the file extensions .pdf in the file name) and presented on a CD-ROM or emailed to [zulia@ohio.edu](mailto:zulia@ohio.edu) by 4:00 p.m. on the deadline date. Electronic copies **must** contain the entire proposal, including appendix (except electronic appended materials such as film footage that may be submitted separately), unless authorized by the Vice President for Research Office prior to the deadline.

**Regional campus faculty only:** An applicant may request permission to submit his/her proposal by mail. The package containing the original hard copy of the proposal **must** be postmarked not later than 4:00 pm on the deadline date and **must** include a copy of the email granting approval to submit by mail. The electronic copy **must** be received by email not later 4:00 p.m. on the deadline date.

It is the responsibility of the person preparing the proposal to ensure that the original hard copy and electronic copy of the proposal are complete.

### **SPECIAL INSTRUCTIONS**

If there is anything about your proposal that requires special handling or consideration, it is essential that

this be set forth in a letter to the Office of the VP for Research. This letter is to accompany the original hard copy of the proposal and the electronic copy.

### **REPORTING REQUIREMENTS**

A final report that describes any significant outcomes, discoveries, etc. and any reprints (or cover pages for books) or other material arising from the project, **must** be submitted to the Office of the VP for Research, Room 120 RTEC, Ohio University, Athens, OH 45701-2979, within four months following expiration of the award. If this award results in additional, external funds, please list the sponsors and amounts. **No future VP for Research-funded internal awards will be made to the applicant without receipt of the final report.**

### **EXAMPLE PROPOSALS**

Examples of previously funded OURC proposals are available for review at:

<http://www.ohio.edu/research/ourc.cfm>

**Please Note:** Efforts will be made to ensure that posted example proposals comply with current guidelines. ***However, it is the responsibility of the applicant to ensure that his/her proposal is compliant with current guidelines.***