

**Baker Awards, Request for Proposals
Academic Year 2011-2012 Review Cycle
Receipt Deadline: 4:00 p.m., Thursday, January 5, 2012
Awarded funds become available July 2012**

The Baker Fund Awards Committee (BAC) invites proposals for support of research, scholarship and creative activity at Ohio University. All regular tenured and tenure-track members of the faculty and full-time continuing administrative staff at all Ohio University campuses are eligible to submit proposals in any field of study. The scholarly, technical, or artistic merit of a proposed project is the primary criterion for evaluation. The Committee seeks to support projects which are near completion and can hopefully be brought to full completion with the assistance of an award. All projects on which progress has been made are eligible for consideration. Requests for funds to initiate projects are more appropriately directed to the Ohio University Research Committee (OURC).

Activities which are related to an advanced degree program of the applicant are ineligible for BAC support, as are projects for development of curriculum, purchase of instructional materials or equipment, or furtherance of an administrative function of a department, school, college or other University unit.

The BAC will not consider proposals that are simultaneously under review by the OURC for the same or closely related project. Proposals to augment an OURC award will not be considered until at least one continuous academic year has elapsed since the OURC award was made.

The recipient of a BAC award is expected to remain at Ohio University for at least one academic year after receipt of an award. **Funds become available July 1 following the competition deadline and cannot be used to reimburse expenditures prior to July 1.** All projects must be completed within one calendar year of the award. A one-year extension can be requested in writing before the expiration of the award. At the conclusion of the project, or after grant funds have been expended, the grantee is expected to submit a written report setting forth what was accomplished through the BAC award. Such reports are useful to the Committee in the evaluation of the program's effectiveness. **No future VP for Research-funded internal awards will be made without receipt of the final report.**

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. Many members feel that the care with which a proposal is prepared indicates the care with which the work will be done by the investigator.

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

The following sections **must be double-spaced and use 12-point type** that is clear and legible, standard size: the abstract, introduction, project 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.

PROPOSAL SECTIONS

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

- | | |
|--|--|
| 1. Title page | use Baker form |
| 2. Checklist | use Baker form |
| 3. Abstract* | 1 double-spaced page |
| 4. Introduction (<i>For Continuations or Re-submissions Only</i>)* | 1 double-spaced page |
| 5. Project Description | 10 double-spaced pages |
| 6. Glossary/Definition of Terms* (<i>Not required</i>) | 2 double-spaced pages |
| 7. Bibliography (<i>Not required</i>) | 3 pages |
| 8. Biographical information (<i>Applicant(s) and key personnel</i>) | 3 pages per person |
| 9. Budget and Justification | no limit specified |
| 10. Appended Materials | 10 pages; no more than 10 minutes of footage |
| 11. Recommended reviewers | 5 required |

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

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

1. Title Page

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

2. Checklist

Prepare and sign Baker 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 and external reviewers to evaluate the proposal. The abstract should be a self-contained description of the activity that would result if the proposal is funded and include a statement of objectives, methods to be used and the significance of the project to the advancement of knowledge in the field and/or relevance to questions or issues for the broader society in which we live. To accommodate the varied backgrounds of the members of the BAC, the abstract should be written in language understandable to an informed lay reader.

4. Introduction (*For Continuations or Re-submissions Only*)

If the project proposed has received Baker or OURC funding in the past, briefly summarize the results of previous Baker or OURC support and include a copy of the OURC or BAC grant final report in the Appendix. (This will not count against the page limit of the Appendix).

If an application is a resubmission, briefly summarize the revisions made to the proposal. *A resubmission will not be considered unless it has been substantially revised.*

If an applicant includes this section for a new submission or for a project that has not received Baker or OURC funding in the past, it will count towards the page limit of the Project Description section.

5. Project Description

The project description section of the proposal communicates the applicant's plan. It should clearly set forth the hypothesis to be tested, questions for which answers are sought, or concepts to be explored, as well as a discussion of the project's significance, its relation to previous work in the field by the applicant and others, the methods that will be used to achieve the objectives, and a plan for evaluating the outcome. **The description should also include a clear statement of the progress already achieved (*i.e.*, percentage of the project completed by the applicant and, if appropriate, timelines for the completion of the specific aims of the project).** Where appropriate, it should also include a plan for continuation of the project beyond the grant period, including plans for funding. Because of the wide range of activities supportable by the BAC, not all of these elements will necessarily be addressed with equal thoroughness in every proposal.

A possible format for this section is:

A. Specific Aims. Describe precisely what will be accomplished in the work. The hypothesis or premise of the research or creative activity should be stated.

B. Significance. Outline the background to the project and why the proposed work is important and relevant to previous work. Indicate how the results will be disseminated.

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 a determination of

contribution. Knowledge gained through the 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 BAC 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."

Please Note: The proposal addresses two very different audiences. This section should be sufficiently technical for review by a specialist in the discipline. However, it is **strongly recommended** that the applicant use intermittent lay language such that the applicant's plan is accessible to the Committee as well.

6. Glossary or Definition of Terms

Some disciplines use acronyms and/or terms that can be unfamiliar or unusual to an 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.

7. 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. Bibliographies which are obviously lifted *en-bloc* from a dissertation or other publication are a disservice to the proposal.

8. Biographical Information

Include biographical information for the applicant(s) and key personnel. Name, highest academic degree, position at the University, and relevant experience, publications and accomplishments of the applicant(s) *within the last five (5) years* 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 Papers Presented heading, not under Publications. Do not list memberships in professional organizations, participation in workshops or conferences, courses taught, scholarships, abstracts, or committee memberships unless they have **direct** relevance to the proposed study or project.

List all previous university research awards, including OURC and BAC grants. 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 five 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. Additional pages (beyond the three page maximum) may be used in this section to meet this requirement.

The Committee looks favorably on efforts by applicants to seek outside sources of funding. Often proposed projects receive high or meritorious ranking by an external agency but are not funded because of limited funds. Please indicate the ranking or response of the agency if that information is readily available.

9. Budget and Budget Justification

Funds become available July 1 following the competition deadline and cannot be used to reimburse expenditures prior to July 1.

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 a faculty stipend, student wages, equipment, supplies, travel, and other bona-fide project expenses. All fund requests that will be covered from sources other than the BAC should be clearly identified.

- The maximum award is \$12,000.
- 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.

The BAC will give first priority to project expenses that constitute major obstacles to the completion of the project. Applicants are reminded that all equipment, reference materials, and supplies purchased with BAC funds remain the property of Ohio University.

Examples of Allowable Expenses Include the Following:

A. **Student Wages.** Student hours and hourly rates of pay must 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 graduate students should be requested in the form of hourly wages and numbers of hours of work and 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.

B. **Faculty Stipend:** Funds may be requested to pay for release time during the academic year. 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 department chair **must** be included in the Appended Materials 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.

C. **Consumable Supplies.** Consumable supplies used for scholarly activity including miscellaneous, computer, laboratory, and audio supplies. A breakdown of the costs and justification must be given.

D. **Travel.** 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. Budget requests are scrutinized carefully and requests, especially for long periods of travel, should reflect efforts to economize.

For domestic travel: Meal expenses will be reimbursed as per the U.S. General Services Administration per diem rates, 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.*

**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.

- E. **Equipment.** Equipment requests, including personal computers and peripherals for use in the laboratory for data acquisition and analysis or data-base manipulation must be thoroughly justified as essential and integral to the proposed study. Cost-sharing by the applicant's department, school or college is encouraged when funds are requested for major equipment acquisitions. Cost-sharing by the applicant's department is especially important for demonstrating that alternative access to needed computers is impractical or not possible. *The justification must include a statement that the equipment is not currently available in the department, or if available, why additional purchase is required.* For computers, the specifications and capabilities must be stated and justified.
- F. **Other.** Costs for transcription charges, photocopying charges, postage, and the purchase of essential publications and fees paid to participants in the scholarly activity are eligible.

Requests for the Following Purposes Are Ineligible for Funding from the BAC

- A. Salary for the summer quarter or for an academic year quarter in which the grantee has no teaching duties because he or she taught or will teach on a full-time basis during the summer quarter.
- B. Salary supplement while the applicant is on leave under the University Faculty Fellowship Program.
- C. Projects in which the research, scholarship or creativity has been completed. Therefore activities such as typing drafts, preparing camera ready copy, or preparation of graphs, tables or illustrations are ineligible.
- D. Travel to professional meetings and conferences.
- E. Employment of technicians on an on-going basis. An exception may be made for short-term assistance in areas where the project director lacks expertise.
- F. Costs for publication page charges, reprint costs, and printing services for posters.

10. Appended Materials

Materials, as appropriate, may be appended to the proposal **but will not be returned**. 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.

11. 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 BAC is not bound to solicit reviews from recommended reviewers and may, at its discretion, ask for reviews by other persons.

Please Note: The BAC 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 with required signatures **and one electronic copy*** of the complete proposal by 4:00 p.m. on Thursday, January 05, 2012 to:

Dr. Joseph Shields, Interim Vice President for Research and Dean, Graduate College
Room 120, Research and Technology Center
Ohio University, Athens, OH 45701-2979.
Phone: 740-593-1007
Email: zulia@ohio.edu

* Electronic copies **must** be submitted as a single file in Microsoft Word format or Adobe PDF format (Mac users must include the file extensions .doc or .pdf in the file name) and presented on a CD-ROM or e-mailed to zulia@ohio.edu. The single file **must** contain the entire proposal, including the Appendix (except electronic appended materials such as film footage that may be submitted separately), unless authorized by the Vice President for Research prior to the deadline.

Regional campus faculty only: An applicant may request permission to submit his/her proposal by mail. The package containing the hard copy of the proposals **must** be post marked 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 no later than 4:00 p.m. on the deadline date.

It is the responsibility of the person preparing the proposal to ensure that the proposal is complete.

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.

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 BACC proposals are available for review at:

<http://www.ohio.edu/research/baker.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.