

## **Baker Fund Awards**

### **Baker Fund Request for Proposals: Academic Year 2020-2021**

#### **PROPOSAL DEADLINES**

**Fall Cycle: Thursday, October 1, 2020, 4:00 p.m.**

**Spring Cycle: Thursday, February 4, 2021, 4:00 p.m.**

#### **STATEMENT OF PURPOSE**

The Baker Fund Awards Committee invites proposals in support of research, scholarship and creative activity at Ohio University. The committee seeks to support projects that are near completion and hopefully can 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 Council (OURC). The scholarly, technical, or artistic merit of a proposed project is the primary criterion for evaluation.

#### **ELIGIBILITY**

All regular tenured and tenure-track members of the faculty and full-time continuing administrative staff on all Ohio University campuses are eligible to submit proposals in any field of study. The recipient of a Baker Fund award is expected to remain at Ohio University for at least one academic year after receipt of an award. Requests for project support during a faculty fellowship leave are allowed.

The following types of projects are not eligible for Baker funding: Activities related to an advanced degree program of the applicant, projects for development of curriculum, purchase of instructional materials or equipment, or the furtherance of an administrative function of a department, school, college, or other University unit. The committee will not consider proposals that are simultaneously under review by OURC for the same or a 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.

An individual may submit only one Baker Fund proposal in any cycle as a principal investigator or co-investigator. **Starting FY21, investigators may only hold one active OURC or Baker award as a principal investigator or co-investigator.** Proposals that were unsuccessful on the first submission can be resubmitted two additional times (initial submission plus two). Baker Fund will not consider proposals that are simultaneously under review for an OURC award for the same or a closely related project.

#### **PROPOSAL PREPARATION GUIDELINES**

**These guidelines supersede previous versions.** Please review the guidelines before submitting a proposal. Very meritorious proposals often are not funded because these guidelines are not

followed, and information the committee needs to make an informed, objective decision is not available. Many committee members feel that the care with which a proposal is prepared indicates the care with which the work will be done by the investigator.

The Baker Fund provides support for research, scholarly, and creative activities for 12 months following notification and account establishment. (*Notification: December for Fall Cycle; May for Spring Cycle proposals*). **Funds cannot be used to reimburse expenditures prior to account establishment dates.** All projects must be completed within one calendar year of the award.

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

All other sections: bibliography, biographical information, other support, 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.

The type size, spacing, and margin requirements are intended 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 Carma West: westc@ohio.edu.

**\*\*Please Note: The committee has the right to return without review any proposals that do not conform to these format requirements.\*\***

## **PROPOSAL SECTIONS**

Pages should be numbered to facilitate the review process.

- |  |                        |
|--|------------------------|
| 1. Cover Page  | use Baker form         |
| 2. Checklist   | use Baker form         |
| 3. Abstract*   | 1 double-spaced page   |
| 4. Introduction ( <i>for continuations and resubmissions only</i> )* | 1 double-spaced page   |
| 5. Discussion  | 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. Other Support ( <i>applicant(s) and key personnel</i> )            | 1 page per person                            |
| 10. Budget and Justification  | no limit specified                           |
| 11. <b>Durable Impact and Sustainability*</b>                         | <b>1 double-spaced page</b>                  |
| 12. Appended Materials  | 10 pages; no more than 10 minutes of footage |
| 13. Recommended Reviewers   | 5 required                                   |

Sections marked with an asterik (\*) should be written in language understandable by an informed layperson to assist in the review.

**\*\*Please note: The committee has the right to return without review any proposals that do not conform to these format requirements.\*\***

**1. Cover Page** (*Use provided form*)

Prepare a cover page (available at <http://www.ohio.edu/research/funding>). Signatures **must** be obtained by the applicant and are required on the submitted proposal. The cover page **must** be the first page of the proposal. Do not provide any other covers or binders.

**FOR FY21, if needed, applicants may submit cover pages with electronic signatures or multiple cover pages for individual signature.**

**2. Checklist** (*Use provided form*)

Prepare and sign the Baker checklist (available at <http://www.ohio.edu/research/funding>). The goal of the checklist is to affirm that all the sections are included and are compliant with formatting guidelines.

**3. Abstract** (*1 page maximum, double-spaced, 12 point font, and 1" or greater margins on all sides*)

The abstract should include a brief description of the nature of the project, importance of the results related to both the advancement of knowledge in the field and the relevance to questions or issues for the broader society, and a brief overview of how it will be done. To accommodate the varied backgrounds of the committee members, 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 continuations or resubmissions ONLY**)

*(1 page maximum, double-spaced, 12 point font, and 1" or greater margins on all sides)*

**Continuation:** If the proposed project has received Baker or OURC previously, briefly summarize the results and include a copy of the OURC or Baker Fund final report in the Appendix. (This will not count against the page limit of the Appendix).

**Resubmission:** 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. Excessive use of underlining or shading or using multiple typefaces can be confusing for the reviewers.

Please note: A resubmission will not be considered unless it has been substantially revised in accordance with the previous review comments.

If an applicant includes this section for a project that is not a continuation or a resubmission, it will count towards the page limit of the Discussion section and may render the application noncompliant.

## **5. Discussion (including methodology)**

*(10 pages maximum, double-spaced 12 point font, and 1" or greater margins on all sides)*

The proposal addresses two different audiences – external experts and a review committee of faculty and staff with diverse backgrounds. 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 so the applicant's plan is accessible to the committee as well.

The discussion section communicates the applicant's plan. It should clearly set forth the following: the hypothesis to be tested, questions for which answers are sought, or concepts to be explored; 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 discussion also should 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 also should describe the plan for project continuation beyond the grant period, including plans for securing additional funding. Due to the wide range of activities supportable by the Baker Fund, not all of these elements will be addressed with equal thoroughness in every proposal.

This section should answer the following questions. Many otherwise meritorious proposals are rejected because they do not adequately answer these 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 body of work, clearly identify the portion that will be completed with the Baker Fund award. The hypothesis or premise of the research or creative activity should be stated clearly.

**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. While the proposed project's contributions to the discipline are a key consideration, how the project results will be disseminated is also a critical component in determining its contributions. Knowledge gained through project activities that is not disseminated through articles, performances, and other venues cannot make a contribution.

In addition, it is strongly recommended that the applicant include a statement of the broader impacts of the research/creative activity. The applicant should explain how the project outcomes will benefit society (e.g., Will your findings provide a better understanding of a societal problem? What is the potential impact of the project on society? What is the potential impact on other scholars (e.g., training other students)? In what ways, if any, will you make your results accessible to the public?

**C. Preliminary Studies of Applicant:** Provide an account of the applicant's previous studies or work in the area in order to 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 in this section, as well as the extent to which their use has been assured. Test instruments, questionnaires, survey forms, letters of consent, technical drawings of equipment, and other supporting materials should be included in the "Appended Materials" section. For many projects, the inclusion of a timeline is helpful to describe the interdependence or the timing of project tasks.

While training in new techniques may be necessary to carry out the proposed project, it should not be the focus of Baker Fund support. The committee makes a distinction between personal or professional development (ineligible for Baker funding) and training that is incidental to, but a necessary part of, a research or creative activity project (eligible for Baker funding).

**NOTE:** For FY21, in light of the COVID19 pandemic, it is imperative that applicants ensure that all projects are designed such that (1) the project methodology complies with all current restrictions and (2) that the project can feasibly be concluded within a year. Applicants with concerns should contact Carma West, [westc@ohio.edu](mailto:westc@ohio.edu), prior to submission.

**E. Collaborations:** If you are proposing to collaborate with faculty or staff at Ohio University or another organization, describe the role and expertise of the collaborators. If student support is requested, describe the role of the students on the project. For collaborations with faculty or staff at Ohio University or other organizations, a letter (or email) is required from each collaborator that indicates their commitment to participate in the project. The letter (or email) **must** be included in the Appended Materials section.

**F. Confidentiality:** If the applicant plans to disclose ideas, practices, or processes for which patent protection will be or is being sought, the applicant should reach out to Carma West, westc@ohio.edu.

If, in consultation with Carma West and the Technology Transfer Office, it is agreed that the proposal involves intellectual property that should be protected, the word "Confidential" should be placed at the top and bottom of each page that 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 Baker Fund Committee to evaluate this proposal in accordance with its normal procedures, which may include evaluation by those 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."*

## **6. Glossary or Definition of Terms (if appropriate)**

*(2 pages maximum, double-spaced 12 point font, and 1" or greater margins on all sides)*

Some disciplines use acronyms or terms that are unfamiliar to an informed layperson. A short glossary or set of definitions can be helpful for reference purposes. An applicant is not required to include this section but may consider it for ease of reading and enhancement of comprehension. To indicate that a word is further defined in the glossary, it is suggested that the applicant bold the word the first time it appears in the Discussion. **Illustrations are acceptable within the Glossary but must not be used as a means to circumvent the page limits of the Project Narrative.**

## **7. Bibliography (3 page maximum, at least 1" margins on all sides, no spacing or font requirements)**

A short bibliography should be presented whenever appropriate for the proposed activity. A carefully selected bibliography can strengthen a proposal by indicating to the reviewers 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 it should include sufficiently detailed citations for the references listed. Bibliographies that are obviously lifted en-bloc from a dissertation or other publication are a disservice to the proposal.

## **8. Biographical Information**

*(3 page maximum per person, 1" or greater margins on all sides, no spacing or font requirements)*

Include the following information for each of the applicant(s) and key personnel:

- General information: Name, highest academic degree, position and duration at the University, other professional positions and terms of service, experience, and accomplishments.
- Publications: Include only papers that have been published, are in press, or have been submitted for publication and are under consideration by the publisher.
- Papers presented and abstracts.

Accomplishments, publications, and papers presented *within the last five (5) years only* should be provided in this section. Also, only include memberships, participation in workshops or conferences, courses taught, scholarships, or committee memberships if they have direct relevance to the proposed project.

## **9. Other Support**

*(1 page maximum, 1" or greater margins on all sides, and no spacing or font requirements)*

**A. Previous University Funding:** List all previous university research awards, including OURC and Baker, within the last three years. Include sponsor, project title, award date, dollar amount, and outcomes (including presentations, exhibitions, publications, and subsequent funding secured). Provide a brief description of support received from college and department sources, including all start-up funds (from any source) and project support within the last three years. List all funds available to the project, including university programs like Research Incentive, Research Challenge, and continued support from the department or college.

**B. External Funding:** List all proposals submitted to outside agencies for this or any other project within the past three years. Include sponsor, project title, award date, dollar amount, and outcomes (including presentations, exhibitions, publications, and subsequent funding secured).

## **10. Budget and Justification** *(1" or greater margins on all sides; no page, spacing, or font size requirements)*

***Funds cannot be used to reimburse expenditures prior to account establishment dates.***

This section should include the budget breakdown by line items, total budget request amount, sources of matching funds (if applicable), and budget justification. Funds may be requested for student wages, equipment, supplies, travel, and other bona fide project expenses. All project expenses that will be covered with sources other than Baker funds should be clearly identified. The committee will give first priority to project expenses that constitute major obstacles to the completion of the project.

- 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 travel requests should be broken down by ground transportation, airfare, parking, and other expenses. 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.
- All budgetary items should be justified as to their relevance to the project. Without sufficient justification, items may be eliminated.
- Travel support for attendance at conferences, short courses, and symposia is not allowed.
- Applicants are reminded that all equipment, reference materials, and supplies purchased with Baker funds remain Ohio University property.

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 can assess the request. If the budget item is a common consumable supply generally available in most laboratories, offices, or studios, please justify the purchase with Baker Fund resources.

**B. Travel:** Enter dollar amount of requested funds. Travel expenses must be broken down into transportation, meals, lodging, and any other categories, and the basis for the figures must be provided. Travel support will be provided only for the furtherance of the proposed project. Support for attendance at short courses, symposia, conferences, or other activities of a professional development nature is not allowable, unless it is directly related to the proposed project and fully justified.

For domestic travel: Meal expenses and hotel rates will be reimbursed according to the U.S. General Services Administration per diem rates found at [www.gsa.gov/perdiem](http://www.gsa.gov/perdiem).

For international travel: Meal expenses and hotel rates will be reimbursed according to the U.S. Department of State per diem rates found at [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.*

**\*NEW\*** Air travel must be booked using a p-card and the Concur system through Christopherson Business Travel (CBT) per the travel policy. Any travel reimbursements must adhere to travel policy 41.121.

**C. Student Wages:** Student hours and pay rates should be justified based on the nature of the work being done. Include the following information in this section: hourly wage to be paid to the student and the number of hours to be worked; amount of semester stipend and percentage of effort (for graduate stipends); and the method for determining the hourly rate of pay. Extraordinary rates of pay will not be funded without a detailed justification. The Ohio minimum wage can be found at <http://www.com.ohio.gov/laws/MinimumWageLaws.aspx>.

The role and task of any personnel on the project should be defined in the justification and/or the discussion section. This explanation is particularly important for graduate students employed on the

project.

**\*\*Please Note: Under no circumstances does support for graduate student wages or stipends include or “trigger” a tuition waiver.\*\***

**D. Equipment:** All major items of equipment, including computers, to be purchased with Baker funds should be listed with the estimated cost of each item and components of each item, as applicable. Because of limited funds available, 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 or percentage of time used, project-based activities supported with the equipment, and inability to secure the equipment through other channels should be addressed. For computers, the specifications and capabilities must be stated and justified. Any equipment purchased with Baker funding is the property of Ohio University.

**E. Faculty Stipend:** **\*NEW\*** *Funds for release time during the academic year are no longer allowed.* Under VERY rare circumstances, applicants will be allowed to request support for release time for specific, time-sensitive tasks that are critical to project completion. This requires approval by Carma West prior to application submission. Note, any approval to propose release time will be for short duration only, e.g., a few weeks. The intent is not to fund an entire semester of course release for project activities or writing.

Any approved release time request must include a full justification that indicates the date(s) needed for release time, as well as the associated tasks to be completed and outcomes anticipated if the support is granted. This information should be included in the Discussion section and budget justification, as appropriate. Also, if release time is requested, a letter from the chair must be included that states that the release time will be approved.

**F. Other:** Costs for transcription charges, photocopying charges, postage, purchase of essential publications, and fees paid to participants are eligible.

**The following costs are ineligible for Baker funding:**

- Salary for the summer or for an academic year semester in which the grantee has no teaching duties because he or she taught or will teach on a full-time basis during the summer.
- Salary supplement while the applicant is on leave under the University Faculty Fellowship Program.
- Typing drafts, preparing camera ready copy, or preparation of graphs, tables, or illustrations.
- Costs for publication page charges/fees, open access publication costs, reprint costs, and printing services for posters.
- Travel to professional meetings and conferences.

- Employment of technicians on an ongoing basis. An exception may be made for short-term assistance in areas where the project director lacks expertise.

**G. Total:** Enter total dollar amount requested. The total requested may not exceed \$12,000.

**\*NEW\* 11. Durable Impact and Sustainability:** The purpose of the Baker Fund is to support projects that are near completion and hopefully can be brought to full completion. Therefore, in this section, the applicant should demonstrate the durable impact of pursuing the proposed project on their career by relating the proposed project research/creative objectives and outcomes to their research/creative activity career goals.

In addition, the applicant must detail how they will secure the resources needed to continue the proposed project if it is part of a larger study. This includes identifying potential sponsors/grants for continued support.

**Please Note:** If the applicant has other sources of funding, the applicant should present an argument that the requested funding is not a duplication of external or internal funding. Note, the committee looks favorably on efforts by applicants to seek outside sources of funding, as can ensure sustainability.

Often externally proposed projects receive high or meritorious rankings by an agency, but they are not funded due to limited funds. OURC funds can be used to secure preliminary data vital to strengthening chances to secure external funding. If this is the case, please indicate the ranking or response of the agency if that information is readily available, and plans to resubmit an external grant application.

**12. Appended Materials** (*10 page maximum; no spacing, margin, or font size requirements*)

**All appended materials must be submitted electronically, unless otherwise approved prior to submission.** Examples of what to include in this section include:

- Test instruments, questionnaires, or survey forms that will be employed;
- Examples of the applicant's previous work, including photographs, film, or audio footage (no more than 10 minutes). Their relevance to the proposed work should be explained.
- Confirmation from collaborators that they will participate in the project (in the form of an email or letter from each collaborator).

All materials included in the Appendix should be referenced in the Project Narrative section.

The inclusion of numerous preprints and reprints as appendices is not necessary and is discouraged. These documents rarely are read by committee members.

**13. Recommended Reviewers** (*1" or greater margins on all sides; no spacing, page, or font size requirements*)

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 a *current phone number, address, and e-mail address* for each reviewer. 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 committee is not bound to solicit reviews from recommended reviewers and may, at its discretion, ask for reviews by other persons.

**For resubmissions:** Please do not include a list of recommended reviewers. If additional reviewers are needed, the VP for Research Office will contact the applicant for this information.

**Please Note:** Do not include mentors, former advisors, current or former collaborators or co-authors (collaborations within the last 5 years), or former students. Applicants are expected to identify reviewers who will offer an unbiased critique of the project. External reviews offer an opportunity to learn how especially knowledgeable individuals in the field evaluate the proposed project. 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 can preview potential criticisms and therefore 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) one electronic copy** of the entire proposal (with required signatures) no later than 4:00 p.m. on the deadline date to Carma West: [westc@ohio.edu](mailto:westc@ohio.edu). The proposal should be emailed as an attachment. All proposals **must** be a single file in Adobe Acrobat format (Mac users must include the file extensions .pdf in the file name) and **must** contain the entire proposal, including all appendices, unless authorized prior to the deadline.

#### **SPECIAL INSTRUCTIONS**

If there is anything about your proposal that requires special handling or consideration, it is essential that you contact Carma West: [westc@ohio.edu](mailto:westc@ohio.edu) for approval prior to submission.

#### **REPORTING REQUIREMENTS**

A final report that describes significant outcomes, discoveries, or results must be submitted to Carma West, [westc@ohio.edu](mailto:westc@ohio.edu) 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 and Creative Activity-funded internal awards will be made to the applicant without receipt of the final report.**

#### **EXAMPLE PROPOSALS**

Examples of previously funded Baker proposals are available for review at: <http://www.ohio.edu/research/funding>.

**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 or her proposal is compliant with current guidelines.*