
CHAPTER IV: FUNDING SOURCES

FACULTY DEVELOPMENT GRANT AND RESEARCH TRAVEL GRANT

FACULTY DEVELOPMENT AND RESEARCH TRAVEL GRANTS

Faculty Development Fund Guidelines

The Faculty Development Fund exists to aid the growth and development of individual faculty members at this institution. Project proposals may involve creative activity, research, writing, training and study, and program development. Projects are ranked and funded on the basis of their merit.

Historically, the Awards Committee has given low scores to applicants for equipment or supplies not directly related to the specific development project. When a project proposal is contingent on the candidate's acceptance into an institute or seminar, a letter of support from the sponsoring organization is required before funds will be released. The Faculty Development Fund is not designed to recognize or compensate teaching activities.

In addition to the institutionally sponsored Faculty Development Fund, there are opportunities for research and development support external to the university. The Associate Vice Provost for Research in the Office of Academic Affairs has information regarding these possibilities, as does the Consortium Library. Call (907)-786-1921 with questions.

Eligibility and Fund Limitations

- A. All proposals must be submitted by a full-time faculty member(s).
- B. For any one faculty member, no more than \$3,000 will be awarded for monies spent for account codes 1000 and 3000 combined and no more than \$2,000 spent for account codes 2000 and 4000 combined. The total amount awarded for any one faculty member may not exceed \$4,500 per fiscal/academic year.

Account Codes	
1000	Personal Services
2000	Travel
3000	Contractual Services
4000	Commodities
\$4,500	Limit

Note: Personal services must include benefits, and travel expenses are limited to direct transportation expenses. **Per diem expenses for food and lodging are not allowed.**

- C. A faculty member may apply for more than one award in a fiscal year as long as the totals for each object code do not exceed the limitations noted above in item B.
- D. Joint proposals may be submitted; however, all funds must be charged against the limits of a faculty member. Joint proposals should be presented as a complete unit. For example, a joint proposal could charge \$2,500 in personal services to faculty member A and \$3,000 to faculty member B. A joint proposal could *not* pay \$1,500 in salary to faculty member A and \$4,000 in salary to faculty member B, although it could pay \$5,500 to one research assistant to help both faculty members.
- E. Faculty members may apply for funding in both the research travel and faculty development categories but can be funded for the same purpose from only one funding source. Anyone receiving travel money under this program may not receive travel money from the Research Travel Fund to meet the goals of the same proposal.
- F. Faculty are not eligible to personally receive salary money from the Faculty Development Fund during the time they are on sabbatical leave. However, a faculty member may receive funds from account code 1000, for example, to hire research assistants.

Evaluation Committee

- A. The Faculty Grants and Leave Committee will serve as the evaluation committee.
- B. The evaluation committee is seated from September 1 through August 31, with the expectation that members would serve for one full year, but never less than six (6) months (i.e., from September 1 to February 1, or from February 1 to August 31). Committee members who refuse to serve for at least six months should be considered ineligible for an award for at least one full year.
- C. No evaluator may serve on a committee deciding the granting of funds during the funding period in which the evaluator or a member of the evaluator's immediate family has a funding proposal under consideration. No evaluator may serve on a committee deciding the granting of funds during the funding period a proposal is submitted by a faculty member with whom the evaluator is

doing collaborative work directly related to the said proposal. Prior to the first meeting of each academic year, a representative pool of past FGLC members will be compiled by the Office of Academic Affairs. The pool will be used to select appropriate substitutes to replace FGLC members who are unable to attend scheduled meetings due to a conflict of interest or for other reasons. The committee chair will select representative substitute(s) from the pool.

- D. Administrative Services should facilitate budgeting transfers among account codes 1000, 2000, 3000 and 4000 if expenditures do not achieve the approximate pattern which follows:

1000	Personal Services	64.0%
2000	Travel	6.0%
3000	Contractual Services	12.4%
4000	Commodities	<u>17.6%</u>
	TOTAL	100.0%

Process for Committee Considerations of Faculty Development Fund Proposals.

- A. Proposals for Faculty Development Fund grants will stand on their own merit. Questions will not be addressed to applicants nor will applicants be invited to make presentations.
- B. Faculty Development proposals will be considered at a public meeting specifically called for that purpose. A quorum for the meeting(s) shall consist of two-thirds of the members of the whole committee.
- C. All committee members will review the proposals prior to the meeting(s).
- D. Each member will fill out the rating sheet and then rank the proposals from the highest raw score to the lowest.
- E. The initial member rankings will be submitted to Faculty Services in the Office of Academic Affairs two days prior to the meeting. The individual member's rankings will be combined to produce the initial committee ranking.
- F. The committee members will examine the ranked list of Faculty Development proposals at the public meeting called for that purpose.
- G. The committee, by a majority vote of members present, may identify a proposal as unacceptable and, therefore, to be withdrawn from further consideration. In this case, the reasons for this view will be conveyed to the author of the rejected proposal.

- H. The committee, by a two-thirds vote of members present, may decide to accept the initial ranking as final. If this occurs, steps I to J will be omitted. Failing by a two-thirds vote, the committee will proceed to step I.
- I. The committee will discuss each proposal, and discussion will be limited to ten minutes each.
- J. Upon completion of discussion of the proposals, the committee members will individually rank all proposals. These individual rankings will be combined to produce a committee rank.
- K. Upon the completion of the ranking, the committee chairperson will transmit the committee ranking and a list of unacceptable proposals to the Provost for final award of funds. That list shall be transmitted to the Faculty Senate as part of the record of committee action.
- L. The committee shall maintain a record of its proceedings and shall keep all records of rankings.

Application and Funding Process

- A. Applications should be submitted to the Office of Academic Affairs.
- B. Two grant rounds shall be established in each fiscal year, from July 1 through December 31, and from January 1 through June 30. Not more than fifty percent of the available funds shall be awarded during the first granting round.

NOTE: For Round I funds, all expenditures must be complete and processed during the July 1 – December 31 funding period, including travel. Any Round I funds remaining on December 31 will be redistributed with the Round II funds. Round II funds must be encumbered and travel completed by June 30, or funds will lapse.

- C. Deadlines shall be set to allow timely consideration of proposals and, once set, they should be met. Deadlines are October 15 and March 15. Announcements are made no later than four weeks after the submission deadline.
 - Round I: July 1 – December 31
Deadline is March 15
 - Round II: January 1 – June 30
Deadline is October 15
- D. Successful applicants are required to submit a report on the results of work within three months of the completion of this work.

E. Applications must include the following information:

1. Cover sheet
2. Applicants will prepare an abstract of no more than 100 words. The abstract will conform to an exact format provided with the application form. Its purpose is twofold. It assists the reviewers by providing a synopsis of the proposed project and is copied into a file of "Faculty Development Grants Recently Funded." This file will be made available by the Office of Academic Affairs to any interested faculty.
3. Vitae of all project members
4. The format for proposals should closely follow the Outline and Rating Sheet [*see the end of this chapter*], reflecting the categories and evaluation criteria as indicated. Proposals should be no more than five (5) pages in length, excluding the cover sheet, vitae, and supplementary attachments. Proposals should be written so that they are easily understood by colleagues from a wide variety of disciplines.

F. Addendum to Cover Sheet for Faculty Development Funds. Briefly, the following restrictions (as formulated by the Faculty Senate) pertain:

1. Faculty members may apply for funding in both the research travel and faculty development categories but can be funded for the same purpose from only one funding source. Anyone receiving travel money under this program may *not* receive for travel money from the Research Travel Fund to meet the goals of the same proposal.
2. No more than \$3,000 will be awarded in the account codes 1000 and 3000 *combined*. No more than \$2,000 can be spent on account codes 2000 and 4000 *combined*. The total grant, per person, cannot exceed \$4,500. There should be no exclusive equipment purchases (limited to the use of the individual) in the proposals. Candidates should indicate how equipment could be of further use to the institution after project completion.
3. Note that faculty salary awarded must include benefits. This means that if the award in the personal services category is \$3,000, a portion of it must be

deducted to cover benefits. (*See example below.*)

4. A faculty member may apply for several Faculty Development grants during a round if the total amount requested does not exceed \$4,500.
5. Travel expenses are limited to direct transportation expenses with no allowance for per diem.
6. Grant recipients are required to submit a report on the results of work within three months of the completion of this work. Final reports should include not only the results of the work undertaken and expenditure of funds, but also the impact of the results on the conduct of courses or organized research in the school, college or department, and any showings, performance or publications which resulted by the time of the report.

Due to the change in accounting procedures, successful applicants' grants will be administered by the Office of Academic Affairs/Faculty Services. Grantees should forward requests for expenditures and budget approval to the Faculty Services Coordinator. Project reports should also be forwarded to Academic Affairs upon completion of each grant.

Note that the budget account code 1000 includes salary plus staff benefits. To compute benefits, use the current staff benefit rates.

Please confirm benefit rate with the Human Resources office when calculating benefits for faculty and students receiving salary support from this grant fund.

COVER SHEET FOR FACULTY DEVELOPMENT GRANT PROPOSAL

Please submit completed form as top page of grant proposal through your Dean/Director to the Office of Academic Affairs.

Name(s) _____ Department _____
 _____ Telephone _____
 Rank _____ School/College _____
 E-mail _____ Bipartite/Tripartite: _____
 Title of Project _____

Objectives to be accomplished during this grant request round _____

Duration of Project ___/___/___ - ___/___/___ Duration of Salary Support ___/___/___ - ___/___/___

Summer session teaching appointment? Yes [] No []

Continuation of previous grant activity? Yes [] No []

If yes, please describe project name and portion/stage of work already completed _____

Identify other financial support for this activity from your school, department, or other sources _____

List the titles of past UAA proposals and the amount funded by Research Travel Grants, Faculty Development, and/or sabbatical leave _____

Were the results presented to the Provost? Yes [] No [] Vita Attached? Yes [] No []
 If "No", the results must be presented to the Provost before one is eligible for additional funding.

Funding Level Required	Faculty Member No. 1	Faculty Member No. 2	Faculty Member No. 3
Total Personal Services – (1000)			
Salary – (1605)			
Benefits – (1970)			
\$ awarded this FY			
Travel – (2000)			
\$ awarded this FY			
Contractual – (3000)			
\$ awarded this FY			
Commodities – (4000)			
\$ awarded this FY			
SUBTOTAL: 1000 + 3000			
SUBTOTAL: 2000 + 4000			
TOTAL			

 Dean/Extended College Director Signature

 Date

Please provide an abstract and other information as indicated in the space below. This abstract will become public information, disseminated by the Office of Academic Affairs, if the proposal is funded. Use minimum 10-point size font. Do not type outside the boxed space. [Note: an ideal abstract or summary will contain about one sentence each: overall rationale, specific purpose, method, anticipated outcome, implications].

Project Title:		
Funding period:	/ /	to / / ; Amount: \$
Principal investigator:		
Location:	Phone:	Fax:
Collaborators:		
Summary:		

OUTLINE AND RATING SHEET FOR FACULTY DEVELOPMENT FUND PROPOSALS

In order to provide for the fair and equitable selection of the most meritorious professional development grants for support, the University of Alaska Anchorage has established criteria for their review and evaluation. These criteria are intended to be applied to all proposals in a balanced and judicious manner, in accordance with the objectives and content of each proposal.

1. Intrinsic Merit of the Proposal (30 possible points)

- a. (5 pts.) **Description.** The description of the project is clear and understandable in “lay” language and clearly identifies the goal(s). (0-5) _____
- b. (10 pts.) **Significance of the project.** The proposal makes a compelling case for the importance of the project. (0-10) _____
- c. (5 pts.) **Knowledge of similar projects.** Applicant shows knowledge of similar projects in the field and demonstrates the distinct contribution this project will make. (0-5) _____
- d. (10 pts.) **Impact.** Project demonstrates likelihood that it will have a substantial benefit for the faculty member’s professional development. (0-10) _____

2. Viability of the Proposal (25 possible points)

- a. (10 pts.) **Methodology/Plan/Objectives.** Applicant sets out a realistic approach and reasonable plan for timely accomplishment of the stated goals. Objectives that are likely to meet the identified goals are set out. (0-10) _____
- b. (10 pts.) **Budget.** Detailed budget is presented with justification for expenses including salary requests. The budget details an appropriate use of funds. Identifies all other sources of funding in support of this project. (0-10) _____
- c. (5 pts.) **Performance Competence.** Applicant demonstrates capability and likelihood of accomplishing stated goals. (0-5) _____

3. Other (20 possible points)

- a. (10 pts.) **“Seed” Money.** For newly appointed faculty in their first two years at UAA or for **major** new directions in professional growth for established faculty members. Indicate month and year of initial faculty appointment. (0-10) _____
- b. (10 pts.) **Presentation of Proposal.** Follows correct format; information is complete (each item in the outline is addressed); appropriate length; includes documentation, cover sheet, and vitae; written in clear, understandable, “lay” language for individuals in any discipline to understand; uses correct grammar and spelling. (0-10) _____

Total Score (0-75) _____

RESEARCH TRAVEL GUIDELINES

Eligibility of Fund Limitations

- A. All proposals must be submitted by a full-time faculty member, although a faculty member may request funds for travel of a student or research assistant. All student research travel must be shown to clearly support the research effort of the faculty member submitting the proposal.
- B. Research Travel funds have been divided into two distinct categories for disbursement.
1. *Category 1* -- Funds for travel to meetings for the purpose of presenting papers or actively participating in workshops, etc., for the PRESENTATION of research and/or creative activities.
- The Office of Academic Affairs will review all Category 1 applications and compile separate lists of those which do and do not meet established Research Travel guidelines and submit those lists to the committee within one week of the deadline.
2. *Category 2* -- Funds for travel for the acquisition and/or processing of quantitative or qualitative data or samples (i.e., college samples, computer facilities, electron microscope, collection of socio-cultural information, etc.), and funds for travel for the purpose of developing proposals for creative activities and/or research.
- C. Funds will be disbursed from the available pool of funds on a pro rata share of a maximum of \$750 per travel grant. This disbursement will be handled by the Office of Academic Affairs/Faculty Services.
- D. No applicant may receive funds more than one time from any one category each fiscal year.
- E. 1. Travel funds are for reimbursement of transportation expenses only. Such transportation expenses may include (when fully justified) the cost of rental cars. Submissions for airline travel should reflect super-saver fares whenever possible, but coach will be used when that is the only fare available. The maximum airfare that will be reimbursed will be coach class airfare. The Faculty Services Office

will be responsible for obtaining quotes from the airlines for the super-saver air fare to named destinations for all applicants prior to assigning pro rata shares. Expenses for lodging, registration fees, meals, purchases of papers, telephone calls, and similar travel-related expenses are specifically excluded.

2. Travel funds will be disbursed in advance of the travel only for the purchase of transportation tickets. Otherwise, the funds will be distributed on a travel reimbursement basis at the conclusion of the planned travel. Reimbursement requests for travel funds are to include receipts verifying the actual expenses.
- F. Faculty members may apply for funding in both the research travel and faculty development categories but can be funded for the same purpose from only one funding source. Anyone receiving travel money under this program may *not* receive travel money from Faculty Development Funds to meet the goals of the same proposal.

Evaluation Committee

- A. The Faculty Grants and Leave Committee shall be the evaluation committee for Research Travel Grants.
- B. No evaluator may serve on a committee deciding the granting of funds during the funding period in which the evaluator or a member of the evaluator's immediate family has a funding proposal under consideration. No evaluator may serve on the committee deciding the granting of funds during the funding period a proposal is submitted by a faculty member with whom the evaluator is doing collaborative work directly related to said proposal.
- C. Prior to the first meeting of each academic year, a representative pool of past FGLC members will be compiled by the Office of Academic Affairs. The pool will be used to select appropriate substitutes to replace FGLC members who are unable to attend scheduled meetings due to a conflict of interest or for other reasons. The committee chair

will select representative substitute(s) from the pool.

Application and Funding Process

1. Applications should be submitted to the Office of Academic Affairs.
- B. 1. The research travel funds for each category are to be distributed in two time intervals as shown below.

Round I: July 1-December 31.
Deadline dates for submission of proposals will be March 15.
Announcements will be made by April 15.

Round II: January 1-June 30. Deadline dates for submission of proposals will be October 15. Announcements will be made by November 15.

2. Funds not awarded during any granting round shall carry over to the next round. Funds not awarded by April 15 may be transferred to other faculty development accounts by the Provost for Academic Affairs.
3. If by a three-fourths majority the Awards Committee feels that the split between categories or rounds should be changed, it shall have the authority to do so without further review by the Faculty Senate. Such a change requires an affirmative vote of three-fourths of the committee, not three-fourths of those present at a meeting.
- C. Advance and Retroactive Funding
 1. Applicants for funding who were not successful in receiving funds during Round I may apply for retroactive funding during Round II. Any funds available at the end of Round II may be used to fund these retroactive applications.
 2. Faculty may apply for retroactive travel funds provided the travel occurred during the fiscal year in which application is made AND provided the intention to apply retroactively is conveyed to the Provost for Academic Affairs in writing for conveyance to the appropriate evaluation committee *before* the travel is initiated. Applications for retroactive travel funding may be submitted at any time,

but will be reviewed at appropriate times with other applications.

3. Applications for travel in future rounds in the same fiscal year may be made and funded during the deliberations on earlier rounds. Such applications must meet the deadlines for the round in which they are submitted.
- D. Successful applicants are required to submit a report on the results of their travel within three months of the end of the round in which travel was funded. For those presenting a paper, the report shall include a copy of the paper presented and an estimate of the audience size.
- E. If your application for Category 1 Research Travel is funded and you do not present the paper or the paper is not accepted, the funds may not be used.
- F. Application Formats
 1. Category 1:
 - a. Name, rank, department, and school or college.
 - b. Identification of the meeting which is to be attended (or which was attended), including date and location.
 - c. Confirmation that the applicant did or will present a paper at or actively participate in workshops, symposia, colloquia, etc., for the presentation of research and/or creative activities. A program from the meeting or a letter from the meeting organizers may be considered adequate confirmation.
 - d. Detailed cost estimate of the transportation expenses involved for the meeting.
 2. Category 2:
 - a. Name, rank, department, and school or college.
 - b. Identification of the research and/or creative activity to be conducted, proposal to be prepared or funds to be solicited.
 - c. If applicable, confirmation from colleagues with whom the research and/or creative activity is to be conducted.
 - d. Duration of the proposed research and/or creative activity.
 - e. Detailed cost estimate of the transportation expenses involved for the meeting.

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- f. Identification as to whether the research is for continuation of existing research programs.
 - g. Identification of financial support for the research from the applicant's school or department and/or from other sources.
 - h. Description of the results of past proposals funded by UAA in the areas of summer research, research travel, and/or sabbatical.
- G. Addendum to Proposal Application for Research Travel Grant. Briefly, the following restrictions (as formulated by the Faculty Senate) pertain.
- 1. Travel Funds are for reimbursement of travel expenses only. Expenses such as hotel, motel, phone calls and meals are specifically excluded.
 - 2. Reimbursement requests require verifying receipts.
 - 3. Advance disbursement occurs only for purchasing transportation tickets. Remainder of funds will be reimbursed upon completion of travel.
 - 4. Retroactive travel funding is allowable *only* if written intention of application is submitted to the Provost for Academic Affairs in advance of the travel, and it occurs in the same fiscal year.
 - 5. The maximum grant is a pro rata share of \$750, and grantees are encouraged to travel by the least expensive mode (super-savers, etc.). Detailed cost estimate of the transportation expenses are expected.
 - 6. A meeting program or letter from the organizers is sufficient confirmation of attendance.
 - 7. Grants in Category 2 require detailed explanations of the results of past proposals funded by UAA in the areas of summer research, research travel, and/or sabbatical leave.
 - 8. No applicant may receive funds more than one time from any one category each fiscal year.
 - 9. Grantees will submit a report on the results of their travel within three months of the end of the period in which travel was funded.

PROPOSAL APPLICATION FOR RESEARCH TRAVEL GRANT

Application Round I--July 1 – December 31 [] II--January 1 – June 30 []
Please submit completed form through your dean/director to the Office of Academic Affairs.
If you have any questions, call 786-1462.

Name(s) _____ Department _____
_____ School/College _____
Rank _____ Telephone _____
E-mail _____ Bipartite/Tripartite _____

Previous Research Travel Grant? Yes [] No [] Previous Sabbatical Leave? Yes [] No []

Please indicate Research Travel category for which you are applying:

- _____ **Category 1** Funds for travel for the purpose of presenting papers or actively participating in workshops, symposia, etc.
- _____ **Category 2** Funds for travel for the acquisition of and/or processing of quantitative or qualitative data or samples and funds for travel for the purpose of developing proposals for creative activities and/or research.

CATEGORY 1 APPLICANTS

Meeting to be attended (title, date, location) _____

Paper to be presented or presentation of research/creative activity _____

Confirmation of meeting (please attach) _____

Detailed cost estimates of direct transportation expenses _____

CATEGORY 2 APPLICANTS

Research/activity conducted, proposal prepared, or funds solicited _____

Colleagues participating in research/activity _____

Duration of research/activity _____ Does this research continue existing programs? Yes [] No []

If yes, please describe _____

Detailed cost estimates of direct transportation expenses _____

ALL APPLICANTS

Identify any other financial support for the research for this project from your school, department, or other sources _____

Briefly describe the results of past UAA proposals funded by research travel grants, faculty development grants, and/or sabbatical leaves _____

Were results presented to the Provost? Yes [] No []

If “No”, the results must be presented to the Provost before one is eligible for additional funding.

Dean/Extended College Director Signature

Date