



To: Sam Gingerich, Provost and Executive Vice Chancellor
University of Alaska Anchorage

Fr: Monique Marron,
UAA Governance Office

Re: Faculty Handbook Ch. IV: Faculty Development Funds

On November 4, 2016 the Faculty Senate approved the attached changes to Chapter IV of the Faculty Handbook. A motion that was previously approved on March 13, 2017 was paired with an incorrect version.

Please see the enclosed documents for more information.

If I may be of further assistance, please let me know.

Provost

Approved Disapproved

Comments:

May 13, 2017

Sam Gingerich, Provost and Executive Vice Chancellor

Date

Chancellor

Approved Disapproved

Comments:

19 May 2017

Tom Case, Chancellor

Date

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**CHAPTER IV: FACULTY
DEVELOPMENT FUNDS**

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FACULTY DEVELOPMENT 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. The Faculty Development Fund is not designed to recognize or compensate teaching activities.

In addition to the institutionally-sponsored Faculty Development Fund and Faculty Research Travel Grants, there may be faculty funding through the Center for [Advancing Faculty Excellence \(CAFÉ\)](http://www.uaa.alaska.edu/cafe) (www.uaa.alaska.edu/cafe), and there are opportunities for research and development support external to the university. The Vice Provost for Research (www.uaa.alaska.edu/research) has information regarding these possibilities, as does the Consortium Library (consortiumlibrary.org).

Eligibility and Fund Limitations

A. All proposals must be submitted by a full-time faculty member(s). Term faculty are eligible to apply but must have a contract for the period of the grant. Administrative faculty, adjunct faculty and staff are not eligible to apply.

~~B. The total amount awarded for any one faculty member may not exceed \$4,500 per fiscal/academic year. 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.~~

B.

Account Codes

1000	Personal Services (salary/benefits)
2000	Travel (direct transportation only)
3000	Contractual Services (e.g., printing, mailing, conference registration)
4000	Commodities (e.g., supplies)

~~— \$4,500 — Limit per fiscal year~~

Using the above account codes, please indicate on the application form how funding is to be distributed.

Funding Notes:

1. Travel expenses are limited to direct transportation expenses. **Per diem expenses for food and lodging are not allowed.**
 2. 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. Salaries 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. To compute benefits, use the current faculty/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.
 4. 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.
- 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 and the \$3,000~~4500 limit is not exceeded.
- D. Joint proposals of up to three faculty may be submitted. Proposals should clearly indicate the role of each faculty member in the project; however, all funds must be charged against the limits of a faculty member. Joint proposals should be presented as a complete

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~~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.

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 two-thirds 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. Rankings will be modified based on committee discussion.
- 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~~ A list of reviewed proposals shall be transmitted to the Faculty Senate as part of the record of committee action.

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- 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 by the deadlines below.
- B. Two grant rounds shall be established in each fiscal year, from July 1 through December 31 (Round I), and from January 1 through June 30 (Round II). 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.~~ Application deadlines are set to allow for timely consideration of proposals and are as follows:

Round I: ~~Funding~~ July 1 – December 31
Application dDeadline is March 15
Round II: ~~Funding~~ January 1 – June 30
Application dDeadline is October 15

Award announcements are made no later than one month after the submission deadline.

- D. 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.

- E. Applications must include the following information:
1. Cover sheet
 2. Vitae of all project members
 3. Proposals should be submitted following the template *[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 in a 12 point font, excluding the cover sheet, vitae, and supplementary attachments. Proposals should be written in “lay language” so that they are easily understood by colleagues from a wide variety of disciplines. Applicants will prepare an abstract of no more than 100 words. The abstract will conform to an exact format provided with the cover sheet. 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.

4. Not including items 1-3 will make the proposal invalid.

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 Office. Project reports should also be forwarded to Faculty Services in Academic Affairs upon completion of each grant.

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COVER SHEET FOR FACULTY DEVELOPMENT GRANT PROPOSAL

Application Round: Round I--July 1 – December 31 [] Round II--January 1 – June 30 []

Please submit completed form as top page of grant proposal through your Dean/Director to the Office of Academic Affairs. If you have any questions, call 786-1462.

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 ___/___/___ - ___/___/___

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 _____

Was a report submitted to Academic Affairs? Yes [] No [] Vita Attached? Yes [] No []
 If "No", the report for previous funding must be submitted to Academic Affairs before one is eligible for additional funding.

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

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<u>Previous FDG Award in this Fiscal Year</u>			
TOTAL (max <u>\$3,000 per fiscal year</u> \$4500)			

Dean/Extended College Director Signature

Date

ABSTRACT (no more than 100 words, minimum 10 pt font)

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. 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.

Minimum Requirements:

- Cover sheet with abstract of no more than 100 words
- Vitae for all project members
- Proposal body of no more than five (5) pages not counting supplemental material

1. Intrinsic Merit of the Proposal (40 possible points)

- a. (15 pts.) **Proposal Presentation and Description.** The proposal follows correct format; information is complete (each item in the outline is addressed); appropriate length; includes documentation, cover sheet, and vitae; uses correct grammar and spelling. The description of the project is clear and understandable in “lay” language and clearly identifies the goal(s). _____ (0-15) _____
- 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. Briefly describe results of other funding received if relevant. (0-5) _____

3. ~~Other~~ **Other** (10~~25~~ possible points)

- ~~a-~~(10 pts.) **“Seed” Money.** For newly appointed faculty in their first five years at UAA (—Indicate month and year of initial faculty appointment). May also be awarded for a new direction in the research of an established faculty member. Proposal should explicitly state if this is the case. (0-10) _____

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~~b. (15 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. (0-15)~~

Total Score (0-7599) _____

RESEARCH TRAVEL GRANTS

Research Travel Grants

The Faculty Research Travel Grants exist to provide funding to faculty to pay a portion of travel costs related to the presentation of research and/or creative activities (Category 1) or the acquisition or processing of data or developing proposals for research and/or creative activities (Category 2). Category 1 proposals are awarded to all faculty who meet the criteria to receive funds in a given round, while Category 2 proposals are reviewed and ranked by the Grants and Leaves Committee. Faculty Research Travel Grants can only be used to pay for travel expenses, not for per diem or lodging.

Eligibility ~~and~~ Fund Limitations

- A. All research travel 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. Term faculty are eligible to apply but must have a contract for the period of the grant. Administrative faculty, adjunct faculty and staff are not eligible to apply.
- 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 may submit those lists to the committee ~~within one week of the deadline.~~

2. **Category 2** -- Funds for travel for the **ACQUISITION OR PROCESSING** of quantitative or qualitative data or samples (e.g., 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. Category 2 applications are reviewed and voted on by the Faculty Grants and Leaves Committee.

- C. Funds will be disbursed from the available pool of funds on a pro rata basis, up to a maximum of \$750 per travel grant. Applications for more than the maximum are reduced to the maximum \$750 before the pro rata share is calculated. ~~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 reviewing airfares for reasonableness prior to assigning pro rata shares. Expenses for lodging,

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conference 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.
3. Travelers must submit a Travel Authorization in advance of travel for pre-approval by Faculty Services, and a Travel Expense Report after travel.

- 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

- A. 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~~ Round I shall carry over to ~~the Round II 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. Retroactive Category 1 Funding

1. ~~Applicants~~ Faculty members who did not apply for Category 1 travel funding ~~who did not apply for funds~~ during either Round ~~may~~ apply for retroactive funding ~~during Round II~~. Any funds available at the end of Round II (~~May~~ June) 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 for funding is conveyed to the Faculty Services office in writing.
3. Applications for retroactive travel funds must be submitted to the Office of

Academic Affairs no later than June 1st for determination of whether there is retroactive funding available. Applicants will be notified after June 15th about the status of retroactive funds. Applications should include receipts for airfare and ground transportation.

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 ~~an your~~ applicant's ~~tion for~~ Category 1 Research Travel is funded and the applicant ~~you~~ does not present the paper or the paper is not accepted, the funds may not be used.

F. Application Formats

1. Category 1 (use cover sheet)

- 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 (i.e., airfare, ground transportation) expenses involved for the meeting.

2. Category 2 (use cover sheet):

- 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.
- 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.

COVER SHEET 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 _____
Rank _____ School/College _____
E-mail _____ Telephone _____

_____ 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.

Check if Retroactive Funding Request: []

CATEGORY 1 APPLICANTS

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

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

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 _____

Was a report submitted to Academic Affairs? Yes [] No []

If "No", a report must be submitted to Academic Affairs before one is eligible for additional funding.

Dean/Extended College Director Signature

Date