

UNE MINI-GRANT PROGRAM APPLICATION - 2015

Dear UNE Faculty,

The UFA Research and Scholarship Committee, in collaboration with the Office of Sponsored Programs and the Vice President for Research and Scholarship, is pleased to announce the *2015 Mini-Grant program*.

The broad aim of this program, as noted in the attached RFA, is *to stimulate the research and scholarship activity at the University of New England*. These competitive mini-grant awards are designed to support both junior faculty who are developing a research & scholarship program and senior faculty who are pursuing a new direction or beginning a project that has not been previously funded at any level. If you have received funding before from this mini-grant program, it is important to clarify in your application how the previous funds were used to advance your scholarship and how the project proposed here differs from the earlier funded project.

The goal of the UFA Research and Scholarship Committee is to identify the highest quality proposals regardless of discipline or purpose. However, to increase the efficiency of the review process and to better assess the merits of a given proposal, we utilize discipline-specific review groups. Applicants should identify the program category that best represents their area of research or scholarship. Faculty members of the UFA Research and Scholarship Committee, with the assistance of discipline-specific ad-hoc reviewers, review and rank the submitted proposals. These recommendations are then submitted to the Vice President for Research and Scholarship who makes the award decision, funding the greatest number of highly-ranked proposals within the available budget.

Last year 22 mini-grant applications were submitted. Of these, 17 proposals were funded for a funding rate of 77%. The funding breakout by group for 2014 was:

- Social Sciences, Humanities and the Creative and Fine Arts- 3 of 5 applications funded (60% funding rate)
- Natural Sciences- 10 of 11 applications funded (91% funding rate)
- Medicine and Public Health- 4 of 6 applications funded (67% funding rate)

Again this year, the grant period is 15 months to take advantage of two summer periods. In addition, the funding levels have been raised from \$3,000 to \$3,500 for the lower tier and from \$8,000 to \$10,000 for the upper tier.

If you have any questions on the application or the review process after reading this announcement in full, please contact Peter Herrick (Office of Sponsored Programs) at pherrick@une.edu or 602.2258.

Best of luck in preparing your application for the 2015 Mini-Grant Awards.

Sincerely,

Cathrine Frank, on behalf of The UFA Research & Scholarship Committee

UNE MINI-GRANT PROGRAM APPLICATION - 2015

A. Overview:

The UNE Mini-Grant program provides intramural funding that helps support faculty research and scholarship at the University of New England. Funding for the program is provided through hard money commitments made by the university and indirect cost revenue generated by extramural grants and contracts awarded to the university.

The primary purposes of these funds are to:

- 1) Catalyze the growth in quality and quantity of scholarly activity being conducted by faculty at the University of New England, helping contribute to a culture of creativity, innovation, and entrepreneurship that positively impacts individuals and communities;
- 2) Support the generation of scholarly works and pilot projects that can be incorporated into applications for external funding by federal and state agencies or private foundations;
- 3) Facilitate the dissemination of the faculty member's scholarship¹ thereby raising the visibility of both the individual faculty member's project and the composite University research and scholarship programs to the outside professional and public communities. This dissemination also helps increase the likelihood of a broader positive impact on society.

B. Program Categories:

We ask that faculty select one of the three categories listed below for their application. The funding categories are defined and organized to help facilitate the review process. Applications for funding are rigorously peer-reviewed by UNE faculty who serve on the UFA Research and Scholarship subcommittee, as well as by ad-hoc reviewers who have content expertise in a discipline or field related to the proposal. Each category will have its own set of reviewers who are best aligned to read and critique proposals from the disciplines and contents covered.

Please note that all applicants are welcome (and encouraged) to discuss their proposed ideas with staff members from the Office of Research and Scholarship prior to submission. Discussions can be regarding project development and/or the category in which the proposal falls under.

Natural Sciences:

Disciplines covered in this category include astronomy, biology, chemistry, earth sciences (including atmospheric sciences and oceanography), material sciences, mathematics and statistics, and physics. Interdisciplinary programs that use the scientific method such as marine sciences are also included in this section. Research projects that have the potential to have a translational/clinical component, but which are still in the basic science stages of discover and preclinical development are also included in this category.

Medicine and Public Health

Medicine as defined here is the science and art of maintaining or restoring health by the prevention and treatment of illness. It includes a variety of health care approaches including those practiced by osteopathic and allopathic physicians, nurses, dental hygienists and dentists, occupational therapists, physician assistants, physical therapists, social workers, and other health practitioners. Veterinary medicine is also included in this category. Public Health, as defined by Winslow, encompasses the science and art of preventing disease, prolonging life and promoting health through the organized efforts and informed choices of society, organizations, public and private, communities and individuals.

Social Sciences, Humanities and the Creative and Fine Arts:

The social sciences include anthropology, archaeology, business and economics, education, government, linguistics, international relations, political science, sociology, geography, history, law, and psychology. The humanities include ancient and modern languages, communications, literature, history, philosophy, religion, and visual and performing arts (e.g., music and theatre).

¹ Faculty scholarship is broadly defined and discipline specific, examples include books, monographs, edited collection, peer-reviewed articles, artwork, reports, plays, commentary, innovative curriculum, etc.

C. Eligibility:

All regular full-time faculty members may apply to either tier. If a proposal is multi-authored, the status of the designated “primary proposal author” will be used to determine funding allocation. If funded, the Principal Investigator and Co-Investigators (if applicable) should be prepared to serve as *ad hoc* members of the UFA Research Committee to help review next year’s applications.

D. Funding Guidelines:

Funds may be used for a diverse set of purposes related to the conduct of scholarship or research. Examples of acceptable uses of grant funds include but are not limited to:

- Supplies such as software, disposable supplies, animals, test kits, or equipment costing less than \$1,000
- Non-PI salaries including support for student stipends, technicians and post-doctoral fellows. Buyout of coursework or service obligations during the college’s academic year is allowable under certain circumstances (see below)
- Travel funding that is necessary for the conduct of scholarly activity (e.g., field site, special collection, etc.)
- Miscellaneous expenses include animal per diem charges, funds to support human subject enrollment, consulting services such as data analysis, and fees necessary to conduct the work (e.g., telephone and postage fees not covered by departmental or college budgets)

Funds cannot be used for the faculty member’s academic year or summer salary. Also, travel related to professional development or dissemination of scholarship is typically not funded through this grant mechanism.

Mini-grants are funded at two different levels. The most common individual awards are funded up to \$3,500 for the academic year. In addition, requests can be made for higher amounts (up to \$10,000) for projects that can justify the larger budgets based on the scope or nature of the project. Examples of these types of projects include interdisciplinary research/scholarship that involves multiple investigators, techniques that are expensive to perform, or projects that will have a broader impact on the university’s overall research and scholarship efforts. Applications for the larger awards are expected to provide more extensive plans for follow-on research and scholarship sustainability and/or mentorship of the investigator(s).

Applicants may not apply to both tiers of funding with essentially the same project. Due to the limited number of awards available at the \$10,000 tier, these awards are expected to be extremely competitive. For both tiers, competitive applications will require a carefully planned budget and justification as the proposed project and budget will be reviewed together. Applicants are encouraged to discuss the budget section of their proposals with the Office of Research and Scholarship well in advance of their application.

The Project Period will begin 1 June 2015 and will extend no later than 31 August 2016. This provides one academic year and two summer periods to undertake the project. PIs do not have to use this entire period, and should propose a project period in keeping with their project.

E. Application:

An electronic copy of a proposal must be submitted to Peter Herrick (pherrick@une.edu) in the Office for Research and Scholarship, with a visible carbon copy (cc) to the applicant’s department chair or supervisor. Proposals should be single-spaced in 12 pt font with 1-inch margins. The proposal should **be understandable to persons not familiar with the specific area of scholarship/research.**

Application Format: Applicants must write a formal application using the following format (sections 2-3 cannot exceed 2 pages for \$3,500 applications, 3 pages for \$10,000 applications):

1. **Face Page.** Please use the attached Face Page. The title page must include names of the applicant(s) and the applicant’s immediate supervisor(s). The application is considered signed by the PI when it is submitted from the PI’s UNE email address with Department Chair or supervisor visibly copied. This is an entirely electronic submission.
2. **Background, Design, Intellectual Merit, and Significance.** Please provide a narrative that addresses the following:
 - a. What is the scholarly or scientific background and literature that led you to this project? For projects outside of the sciences, describe the proposed project’s evolution and its significance with respect to the faculty member’s scholarship, to the university, and/or to the greater external community.

- b. What is the goal of this project and why is it significant and innovative?
 - c. What specific question(s) or hypothesis will be addressed with this project?
 - d. What critical approach or methodology will be used?
 - e. What is the time frame of the project and how will you accommodate possible delays?
 - f. How will you assess the success or completion of this project? In other words, by what discipline specific measure (e.g. submission or acceptance of publication, application for external funding) will you know that you've achieved the goals outlined under item b above? If the proposed project is part of a larger venture, how will you distinguish the success or completion of this phase from the culmination of the larger project?
3. **Future plans for Research/Scholarship.** All applicants must provide information on what steps they are taking to build a vibrant and sustainable program of scholarship at the University of New England. New Assistant Professors should include a summary of the mentoring plan put in place with help from their department or college. More established tenure-track faculty should include information on progress made to date (including use of start-up funds or previous mini-grants). The applicant(s) should also describe funding sources they have identified and will be pursuing for additional support of the scholarship described. Please note that the Office of Research and Scholarship is available to help with developing this section of the proposal (please contact Peter Herrick to set up an initial meeting to discuss your needs).
4. **Budget.** Please use the enclosed budget form as part of this application.
5. **Budget Justification.** Provide a narrative for each major component of the budget request. Matching funds, though not required, are encouraged and will strengthen applications. Matching funds can come from a variety of sources including start-up funding packages, Departments and Divisions, Dean's offices and UNE's four Centers for Excellence. The applicant should have initial discussions with these groups early in the application process and ask for brief letters of support that describe the match commitments. Matching funds can be in-kind, cash, or a combination of the two. PI Salaries cannot be paid out of Mini-Grant funds, although the cost of an adjunct to cover a course release may be requested. The difference in faculty salary between the course release cost (percent of time including 24% fringe) and the cost of the adjunct may be included as match.
6. **Prior Funding.** Indicate previously received funding in the last 5 years (UNE and external) and what the scholarly outcomes were for those funds. For those who have not received extramural funding, please list any unfunded applications made to external funding agencies. While there is no page limit on this section, please keep outcomes to one paragraph each.
7. **Literature Cited.** No more than 10 references.
8. **Letters from Collaborators and Mentors.** Letters should describe the role that the person has on the project and/or on the faculty member's mentoring plan.
9. **Letters of Support.** Letters should indicate commitment for matching funds or other support for the project (i.e. departmental or Dean's office funding). In cases where release time from coursework or service is involved, a letter from a Dean or authorized Associate Dean is required.
10. **Curriculum Vitae.** Provide an abbreviated CV for each professional who is significantly involved in the project. Each CV should be limited to 2 pages, and contain the following sections:
 - a. Professional Positions
 - b. Relevant Publications, presentations, exhibitions, performances or other documentation of scholarly achievements

F. Important Dates

1. **December 12, 2014:** Invitation to faculty from UNE Office of Research and Scholarship for mini-grant proposals
2. **January 15, 2015 by 11:59 PM:** Proposals due (submitted to Peter Herrick in Office of Research and Scholarship office)
3. **March 15th:** UFA Research and Scholarship Committee provides recommendations to the Office of Research and Scholarship
4. **April 1st:** Office of Research and Scholarship announces grant-funding decisions
5. **June 1st:** Grant funds will be available at the start of the fiscal year

G. Proposal Review:

The University Faculty Assembly Research and Scholarship Committee (RSC) will review Mini-Grant proposals using three separate Review Groups, as defined in Section B. Applicants may suggest up to two University faculty members with appropriate expertise as *ad hoc* reviewers (who do not have appreciable conflict of interest with the application). Any RSC members with direct interest in a proposal will recuse themselves from consideration of that proposal to avoid a real or perceived conflict. An applicant may submit name(s) of RSC member(s) who may be in conflict and request that they be excluded from the review of their proposal. The Chair of the RSC will request *ad hoc* members for the RSC if additional reviewers or expertise are needed. Applications requiring Institutional Animal Care and Use Committee (IACUC) or Institutional Review Board (IRB) will be reviewed without prior approval, however, funding will not be released without a written approval (or exemption) from the appropriate oversight group. All proposals will be reviewed and ranked using a Review Criteria rubric (requests for the review sheet should be made to Peter Herrick).

The RSC will forward a scored list of all proposals to the Office of Research and Scholarship. Proposals that are deemed non-meritorious or inappropriate will not be funded, regardless of funds available. All proposals will receive written feedback from the RSC, reflecting the evaluation of the proposal.

Other Contributing Criteria

The following criteria are not required, but inclusion of some these elements into the application can strengthen the submission. Please be clear in the application which elements are included and how they strengthen your project:

- Matching funds. As stated in section E.6., funds can be in-kind and/or cash. While matching funds are not required, having other institutional support identified for this project will be viewed as a significant asset.
- Collaboration. Designing a project involving collaboration is desirable for a number of reasons. These types of projects are typically better at addressing complex and challenging issues facing society; they help break down traditional academic silos, maximize resources and expertise during times of fiscal austerity, and are viewed more favorably by external funding agencies.
- Mentor. Identifying a qualified and engaged mentor for applicants at the beginning stages of their career, or who are senior faculty members pursuing a new avenue of research/scholarship, will be viewed as a significant asset to the application.
- Follow-on funding. As these mini-grants are intended to be seed monies, proposals will be strengthened by the inclusion of appropriate and well-researched options for funding applications once the mini-grant period has concluded.
- Student engagement. Including students in a faculty member's research and scholarship is highly encouraged, and will be viewed as an asset if it is appropriate for the project.

H. Final Report and Presentation:

Grantees must submit a written report to the Office of Research and Scholarship by October 31st of the following fiscal year. Final report overviews and total budget amount will be published to the UNE community. This report should include:

1. **Overview**. A description of the project
2. **Budget**. A detailed summary of how the funds were spent
3. **Goals**. A description of the project outcomes and how the objectives stated were met
4. **Dissemination**. State how results will be disseminated. Dissemination must include sharing results with the faculty of the University through a seminar or similar presentation.
5. **Future Funding**. Provide plans for seeking means to sustain the scholarly activities, including specific funding sources.

I. Application Checklist:

Please be sure all of the following are completed and included in your application in the following order. Please create one single document with all of these components.

- ☐ Face Page (please use attached format)
- ☐ Narrative (Sections 2-3 cannot exceed 2 pages for \$3,500 applications, 3 pages for \$10,000 applications)
- ☐ Budget sheet
- ☐ Budget Justification (cannot exceed 1 page), including matching funds information.
- ☐ Recent (past 5 years) prior funding (include title, funding source and amount, and a brief description of each project)
- ☐ Literature Cited (10 references limit)
- ☐ Letters from collaborators or mentors (if applicable)
- ☐ Letters of Support (if applicable)
- ☐ Curriculum Vitae (limited to 2 pages for each professional involved in the project)

2015 UNE Mini-Grants FACEPAGE

Title of Project:	
Principal Investigator Information:	Co-Investigator(s) Information (if applicable):
Name:	Name of First Co-Investigator
Title:	Title:
Department:	Department and College:
College:	Name of Second Co-Investigator:
Campus:	Title:
Phone:	Department and College:

Project Information:		
Human Subject Research ☐ Yes ☐ No	Please select one area under which you are applying: ☐ Natural Sciences ☐ Medical Sciences and Public Health ☐ Social Sciences, Humanities and Creative and Fine Arts	
Animal Subject Research ☐ Yes ☐ No		
Funding Tier Applying For: ☐ Up to \$10,000 ☐ Up to \$3,500		
Project Start Date:	Project End Date:	If you feel an additional ad hoc reviewer is required for your application, enter that name here:

Investigators and Supervisors		
Type names below. If funded, PI (and Co-Investigators) should be prepared to serve as an ad hoc member of the UFA Research Committee to help review 2016 applications.		
Principal Investigator		Co-Investigator (if applicable)
PI Department Chair or Supervisor		Co-Investigator (if applicable)

Application will be considered signed when it is submitted from the PI's UNE email address. Department Chair or Supervisor **MUST** be copied (cc'd) on submission to serve as notification in lieu of signature.

Please submit the application electronically in PDF format to Peter Herrick at pherrick@une.edu.

2015 UNE Mini-Grants BUDGET FORM

Title of Project:		Principal Investigator
	Mini-Grant Request	Matching or other source
Personnel		
Salaries	n/a	
Fringe (24% of salaries)	n/a	
Student		
Adjunct for course-release		
Consultants		
Name:		
Name:		
Supplies (please identify each line)		
Travel		
Mileage		
Flights		
Hotels, food, etc.		
Conferences/registration fees		
Contractual costs		
Name:		
Name:		
TOTAL:	\$	\$

Instructions: Put the dollar amount requested under the mini-grant in that column. Other monies you have secured (either already or for future use) you should identify under the “matching or other source” column, which may include any outside funder (Federal or foundation) or any internal funder (such as departmental funds, Dean’s award, or other). For consultants and contractual costs, please identify the name of the person or organization. On a separate sheet, please justify all costs identified here, including details about how many hours (or days, or percent effort) are include both under consultants and students as well as the rate you intend to pay students. Include also details about travel (where, for what, how long, etc.), and other details explaining any other requested portion of the budget. Please also explain any “matching or other source” amounts and what restrictions may be on those monies.