

Faculty Scholarship Grant Program

Overview

Table of Contents:

Faculty Scholarship Grant Program Overview

- Category 1
 - o Purpose & Rationale for Category 1 Funding
 - Funding Priorities for Category 1 Funding
 - Funding Criteria for Category 1 Funding
 - Funding Options for Category 1 Funding
- Category 2
 - Purpose & Rationale for Category 2 Funding
 - Funding Priorities for Category 2 Funding
 - Funding Criteria for Category 2 Funding
 - Funding Options for Category 2 Funding
- SMU Philosophy of Scholarship

Program Procedures and Instructions for Grant Application Submission

- Introduction
- Purpose
- Program Procedures / Eligibility
- Application Review Sequence
- Dates for 2020 Funding Cycle
- Instructions for Application Submission
 - Important Notes
 - o 1. Letter of Intent
 - 2. Application Formatting & Submission
 - 3. Components of the FSGP Application
 - 4. Post Award

This document describes the Samuel Merritt University Faculty Scholarship Grant Program (FSGP). This internal grant program is intended to support faculty scholarship that is aligned with the University's mission and vision and that advances the Division of Academic Affairs' strategic priorities. Faculty members' scholarship, along with teaching, clinical practice, and service, is an integral part of their role within the University. These faculty roles occur within the context of their responsibility to contribute to the ability of the School, Department and/or Program to meet the mission, vision and goals of the academic unit. Thus, the Dean, Chair and/or Program Director plays an important role in achieving the necessary balance between the academic unit and the faculty members' responsibilities and how they are met within the academic unit. Thus, a faculty member's participation in the FSGP is based on a negotiated agreement with the Dean, Chair and/or Program Director.

The FSGP serves as a source of major financial support (1) for faculty whose scholarly work is directly related to the University's mission and thus of value to the University and the communities it serves even though that work may not result in external funding, and (2) for faculty who are on a trajectory that could result in external funding for their scholarship.

The SMU Philosophy of Scholarship is foundational to the FSGP¹. SMU recognizes that scholarly work can include the scholarship of discovery, integration, application/service, and teaching/learning. SMU values all forms of scholarship and acknowledges that the evaluation of quality and rigor of the scholarly work will be specific to the type or form of scholarship. Our definition of scholarship includes, but is not limited to, all research methods.

There are two categories of support in the FSGP. Regardless of the category of support, all scholarly work funded by this program will have a plan for dissemination consistent with the University's scholarship philosopy.

The monetary grant amounts range from a minimum of \$10,000 and a maximum of \$50,000 in both categories 1 and 2. Requests for less than \$10,000 will be considered. However, if the request is less than \$5,000, the applicant may want to reconsider whether the FSGP is the best source of funding for the project.

Please consult the <u>Program Procedures and Instructions for Grant Application</u> <u>Submission</u> section of this document for detailed application instructions and program procedures.

Category 1

Purpose & Rationale for Category 1 Funding

The purpose of this category is to fund scholarly work when the faculty member's scholarly agenda is not necessarily leading to external funding and/or a clear path to external research funding is not yet identified.

Faculty members may have scholarly agendas that are closely aligned with the University mission of excellence in teaching and learning that advances clinical practice and have the potential to make substantial contributions to the University's ability to meet that mission. This type of academic work is in alignment with our primary mission to educate students as well as with the component of SMU's institutional vision stating that "expert faculty and staff shape an inclusive learning environment where students experience best teaching practices and state-of-the-art learning approaches." Often there is no external funding for a scholarly agenda in a particular area of scholarship because it does not meet the goals and priorities of federal government, corporate or foundation support for research. The paucity of external funding for these types of projects does not lessen the potential of the faculty's scholarly work to contribute to the growth of the University as a community of practitioner-scholars who are stewards of educational practice, or to what the Carnegie Foundation calls the *teaching commons*,

FSGP_2020-01-17 2

_

¹ Samuel Merrtt University Faculty Handbook, p. 37.

"a conceptual space in which communities of educators committed to inquiry and innovation come together to exchange ideas about teaching and learning and use them to meet the challenges of educating students." The lack of external funding also does not suggest less potential for an impact the research can have in the broader community, in health sciences education, and in clinical practice.

The Category 1 priorities and criteria for funding reflect a key SMU strategic initiative (interprofessional education/collaboration) as well as the institutional values of *innovation* (application of contemporary learning technologies) and *results-driven* (focus on teaching-learning outcomes.) The Funding Criteria reinforce the importance of support for the faculty member's scholarly work at the School/Department level through allocation of time or additional financial compensation and for accountability through the faculty evaluation system and clear plans for dissemination. These Funding Criteria also establish that faculty members who receive funding have the capacity to successfully complete the project.

Funding Priorities for Category 1 Funding

Funding for this category is available to support scholarly work in any type of scholarship as defined in the *Philosophy of Scholarship*. The priorities listed here aim to support scholarly projects that will advance the University's mission and strategic plan. Projects that align with these priorities have a greater chance of receiving funding under the FSGP.

Projects that address one or more of the following priorities will have a greater likelihood of receiving funding:

- 1. Collaborative projects that involve scholars from more than one discipline.
- 2. Projects that seek to improve interprofessional education and practice.
- 3. Projects that aim to improve teaching and learning outcomes at SMU, including teaching and learning in the clinical environment.
- Projects that demonstrate innovative approaches to teaching and learning, including the use of contemporary learning technologies for some aspect of the project.
- 5. Scholarly work that addresses critical questions in clinical practice; this includes the Scholarship of Integration (Sol).
- 6. Scholarly work that addresses critical questions in teaching and learning in the health sciences; this includes the Scholarship of Application/Service (SoAS) and the Scholarship of Teaching and Learning (SoTL) projects.

Funding Criteria for Category 1 Funding

Funding will be awarded based upon the following criteria:

- 1. Applicant/applicant team background and qualifications. One of the following two criteria must be met (a or b):
 - a. The applicant/applicant team has a proven track record of successful completion of research or other scholarly work in an area related to the research question, e.g. through dissertation or other doctoral work, previous pilot studies, or previous research.
 - The applicant/applicant team has evidence of professional accomplishments as an educator and scholar in the type of scholarly project being proposed, i.e., Scholarship of Discovery (SoD), SoAS, SoTL,

Sol.

- The FSGP application is submitted according to proper procedure as outlined in the FSGP Program Procedures and Instructions for Grant Application and Submission.
- 3. Review by the SMU IRB and/or Institutional Biosafety Committee (IBC). All research conducted by SMU faculty members requires review by the SMU IRB and/or IBC. FSGP applications may be submitted prior to IRB/IBC submittal. However, funding is contingent upon IRB/Biosafety approval. IRB/Biosafety approval must be obtained within six months of grant award, or forfeiture of funds may occur. In the case of IRB/IBC approval from multiple sites, the same timeframe applies, so please plan accordingly. NOTE: Projects expecting an IRB exemption still require submittal to and review by the IRB.
- 4. There is a plan for dissemination of the research as described in the *Philosophy* of *Scholarship*, including identified likely sources for dissemination and a timeline for dissemination.
- 5. There is a plan for development and completion of the project which has been reviewed and approved by the responsible Dean, Chair or Director, as reflected in a properly completed Supervisor Approval Letter.

Funding Options for Category 1 Funding

Funding is available to support the following items or activities. A budget proposal should identify other funding needs that may not meet these descriptions and those funding needs will be considered during the project evaluation process.

- 1. Faculty Salary Support:
 - a. Two types of faculty salary support are available:
 - i. Release time and salary for adjunct or other faculty:
 - 1. Faculty release time up to 0.25 FTE (330 hours).² This is contingent upon prior approval of the Dean/Chair/Program Director responsible for the School/Department/Program in which the faculty member(s) teach. If the request for release time is not approved, the faculty member(s) may still receive the FSGP award, but will have to continue with their teaching responsibilities. A faculty salary supplement may be available as described in ii below.
 - 2. If release time is approved, mentoring support is available to prepare an adjunct faculty to backfill the teaching obligation of the primary investigator. This is limited to a maximum of two courses per year.
 - ii. Faculty Salary Supplement

² Generally, the workload allocation for the project are incremental additions to the faculty member's ongoing scholarly workload allocation. The justification for these hours is provided in the proposed budget.

1. A stipend, in increments of \$4,000, of up to \$12,000³ may be added to the faculty member's base pay over the term of the grant proposal for those faculty member(s) electing to continue teaching fulltime. Supervisors must confirm that the applicant has a full academic load prior to any involvement in the proposed research project.

2. Other Related Expenses:

- a. Consultation on research methodology and data analysis.
- b. General research support, such as for participant incentives, research assistants to perform such tasks as participant recruitment, scheduling, general research administration, statistical analysis, transctiption, and data entry.
- c. Equipment and supplies. Equipment purchases are subject to the University's capitalization policy ⁴.
- Support for implementation of innovative teaching/learning activities that would exceed the abilities of standard SMU services for existing course design and delivery. Examples include:
 - a. Short-term consultant services for professional media production
 - b. Short-term technical services for emerging technology applications
 - Utilization of standardized patient services required for project completion that would exceed the cost routinely assumed by SMU for a course offering and/or
 - d. Instructional design services associated with implementing e-learning or mechanical simulation projects (manikin-based, web-based, virtual world) that would exceed the cost routinely assumed by SMU for a course offering.

Category 2

Purpose & Rationale for Category 2 Funding

Funding for this research priority supports any type of scholarly work as defined in the *Philosophy of Scholarship at SMU*. There are three types of support under this category:

FSGP_2020-01-17 5

3

³ The salary stipend is available in increments of \$4,000. This effort must be documented in the proposed budget.

⁴ A. A capital asset must have at minimum a useful life of two years and a purchase price (including sales tax, freight, and installation) of at least \$5,000.00.

B. Equipment purchased in quantities of two or more **identical items** with a unit value of at least \$500.00 and a lot value of at least \$7,500.00 will be capitalized. Purchases that do not meet these criteria will be charged against operating expense. Items will be considered identical if they have the same model or catalog number or are judged to be materially identical after examination by the CFO or another staff member designated by the CFO.

- 1. Bridge Program: For faculty previously awarded a major grant through an external agency (e.g., NIH, HRSA, NSF, private foundations) and who are preparing to submit another related grant.
- 2. Developing Faculty Program:
 - a. For faculty members interested in submitting a major grant to external agency (e.g., NIH, HRSA, NSF, private foundations)
 - b. For support of new/developing faculty, or
 - c. For faculty members who are on a clear developmental path towards receiving external funding support for their scholarship.
- 3. Funded Faculty Program: For faculty who currently have an external source of support for their scholarship.

The University supports faculty members who have a plan for a fundable research agenda on which to build an academic career. The Priority Criteria for funding in this category provides targeted support to faculty who have been awarded external funding and faculty with demonstrable potential to gain external funding. The internal funding from the University is necessary for SMU to recruit new faculty and retain other critical contributors to teaching and clinical practice. There are research agendas that may have a longer horizon for development in order to receive external funding and those faculty members would benefit from support in that earlier phase.

Funding Priorities for Category 2 Funding

Projects that meet the funding priorities under this Category:

- Projects in which SMU primary investigators are working with existing and developing research teams within or external to the University;
- Projects involving faculty research mentors from SMU or other academic institutions;
- Collaborative projects that involve researchers from more than one discipline.

Funding Criteria for Category 2 Funding

Funding will be awarded based upon the following criteria:

- 1. Applicant/applicant team background and qualifications.
 - a. For Bridge, Developing, and Funded Faculty Programs: The researcher/research team has a proven track record of successful completion of research or other scholarly work in an area related to the research question.
 - b. Critera specific to the type of support:
 - i. **Bridge Program** meets *all* of these criteria:
 - Faculty member(s) who have previously received funding support from an external agency in amounts in excess of \$50,000;
 - 2. Faculty member(s) who successfully met all of the external funding agency's criteria for the grant award;

- Faculty member(s) who are preparing to submit a grant proposal for a research project related to those previously funded.
- ii. **Developing Faculty Program** meets *any* of these criteria:
 - Faculty member(s) previously received a University Faculty Research Grant
 - 2. Faculty member(s) previously received external funding less than \$50,000
 - Faculty members who are preparing to submit a grant for an external faculty research development award, e.g. NIH K award
 - 4. Developing a research agenda that has the possibility for external funding from foundations, professional associations, or corporations over a 3-5 year period
 - 5. Begins a new line of scholarly inquiry for a faculty member with a previous track record of major external funding.
- iii. Funded Faculty meets this criterion:
 - 1. Faculty member(s) has a current source of external funding.
- The FSGP application is submitted according to proper procedure as outlined in the FSGP Program Procedures and Instructions for Grant Application and Submission section of this document.
- 3. Review by the SMU IRB and/or Institutional Biosafety Committee (IBC). All research conducted by SMU faculty members requires review by the SMU IRB and/or IBC. FSGP applications may be submitted prior to IRB/IBC submittal. However, funding is contingent upon IRB/Biosafety approval. IRB/Biosafety approval must be obtained within six months of grant award, or forfeiture of funds may occur. In the case of IRB/IBC approval from multiple sites, the same timeframe applies, so please plan accordingly. NOTE: Projects expecting an IRB exemption still require submittal to and review by the IRB.
- 4. There is a plan for dissemination of the research as described in the *Philosophy* of *Scholarship*, including identified likely sources for dissemination and a timeline for dissemination.
- 5. There is a plan for development and completion of the project which has been reviewed and approved by the responsible Dean, Chair or Director, as reflected in a properly completed Supervisor Approval Letter.

Funding Options for Category 2 Funding

Funding is available to support the items listed below. A budget proposal should identify other funding needs that may not meet these descriptions and those funding needs will be considered during the project evaluation process. For faculty funded via an external source seeking additional funds via the FSGP, the budget proposal must show justification for the incremental financial support above that provided by the funding agency.

1. Faculty Salary Support:

- a. Two types of faculty salary support are available:
 - i. Release time and salary for adjunct or other faculty:
 - 1. Faculty release time up to 0.25 FTE (330 hours).⁵ This is contingent upon prior approval of the Dean/Chair/Program Director responsible for the School/Department/Program in which the faculty member(s) teach. If the request for release time is not approved, the faculty member(s) may still receive the FSGP award, but will have to continue with their teaching responsibilities. A faculty salary supplement is available as described below.
 - If release time is approved, then mentoring support of adjunct faculty who backfill the PI to prepare the adjunct for teaching (limited to a maximum of two courses / year) is available as well.
 - ii. Faculty Salary Supplement:
 - 1. A stipend, in increments of \$4,000, of up to \$12,000⁶ may be added to the faculty member's base pay over the term of the grant proposal for those faculty member(s) electing to continue teaching those courses assigned to them or in situations in which release time is not available.

2. Other related expenses:

- a. Consultation on research methodology and data analysis
- b. General research support, such as for participant incentives, research assistants to perform such tasks as participant recruitment, scheduling, general research administration, and data entry
- c. Equipment and supplies. Equipment purchases are subject to the University's capitalization policy.⁷

SMU Philosophy of Scholarship

Please refer the *Faculty Handbook* for the complete SMU Philisophy of Scholarship statement.

https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support

FSGP_2020-01-17 8

-

⁵ Generally, the workload allocation for the project are incremental additions to the faculty member's ongoing scholarly workload allocation. The justification for these hours is provided in the proposed budget.

⁶ The salary stipend is available in increments of \$4,000. This effort must be documented in the proposed budget.

⁷ A. A capital asset must have at minimum a useful life of two years and a purchase price (including sales tax, freight, and installation) of at least \$5,000.00.

B. Equipment purchased in quantities of two or more **identical items** with a unit value of at least \$500.00 and a lot value of at least \$7,500.00 will be capitalized. Purchases that do not meet these criteria will be charged against operating expense. Items will be considered identical if they have the same model or catalog number or are judged to be materially identical after examination by the CFO or another staff member designated by the CFO.

C. A quick reference guide has been created to help faculty and staff with the process of making a capital purchase. Please use the following link to access the Capital Quick Reference Guide when requesting a capital expenditure: http://www.samuelmerritt.edu/finance/forms. The guide can be used to quickly access the requirements for requesting and submitting a Capital Expenditure Request (CER).

SAMUEL MERRITT UNIVERSITY

Faculty Scholarship Grant Program

Program Procedures and Instructions for Grant Application Submission—2020 Funding Cycle

INTRODUCTION

Purpose: To provide monies to help SMU faculty in any one or more of the following:

- (a) Development of new research projects/programs:
 - based on a scholarly agenda that does not necessarily lead to external funding (Category 1)
 - based on a scholarly agenda for which a clear path to external research funding has not yet been identified (Category 1)
 - based on a scholarly agenda that is leading to application(s) for external funding support (Category 2, Developing Faculty Program)
- (b) Development and growth of ongoing research projects/programs:
 - by providing monies to support a scholarly project already funded by an expended external grant while faculty are preparing to apply for another external grant related to the current project (Category 2, Bridge Program)
 - by providing monies to enhance an existing external source of support for a faculty's scholarship (Category 2, Funded Faculty Program)

PROGRAM PROCEDURES Eligibility

- Samuel Merritt University faculty members with appointments as regular faculty are eligible to be a principal investigator/scholar/researcher (henceforth referred to as the PI).
- Faculty members with term or annual appointments are not eligible to serve as a PI, but may participate as part of the project team.
- Faculty members whose appointment is at least a 0.75 full-time equivalent (FTE) are eligible to serve as the PI. Faculty members whose appointment is less than 0.75 are not eligible to serve as the PI, but may participate as part of the project team.
- Funding eligibility for the specific FSGP categories is described below. For the purposes of the bullet points listed below (pp. 1-2), "faculty member" refers to a potential PI.
 - o Category 1:
 - A faculty member is eligible for one FSGP award at any one time.
 - There are no limits to the number of Category 1 grants that a faculty member may have during their tenure at the University.
 - Faculty members who receive an award in Category 2 are also eligible for Category 1 funding during their tenure at the University;

however, a faculty member may only have funding for one grant in any grant category at a time.

- Category 2:
 - Bridge Program
 - A faculty member is eligible for only one award in the Bridge Program during their tenure at the University.
 - The Bridge Program award can be for one research project with a maximum three-year time period.
 - At the end of an award in the Bridge Program, the faculty member must have obtained external funding to support further scholarship or will have teaching responsibilities commensurate with the faculty member's appointment and that meet the School/Department/Program's needs.
 - A faculty member with a Bridge Program award may be eligible for a Developing Program award, but only if there is a significant and major shift in the faculty member's line of scholarship/research in response to changes in the discipline and/or external grant agency priorities. Consult the "Faculty Scholarship Grant Program: Categories of Faculty Scholarship Support" document for a description of these programs.
 - Developing Program
 - During their tenure at the University, a faculty member is eligible for a maximum of 2 Developing Program awards.
 - Funded Faculty Program
 - Faculty members with external funding are eligible for awards in the Funded Faculty Program any time they have external funding during their tenure at the University.

Application Review Sequence (see Table following descriptions):

Letter of Intent: The Letter of Intent (required) will be submitted to the Chair of the Faculty Org Research Committee (<u>facultyresearch@samuelmerritt.edu</u>) and the Pl's supervisor on or before **March 16, 2020 – 9:00 am**.

- Application Receipt and Review for Completeness: A completed grant application is submitted for review on or before April 20, 2020 – 9:00 am. Application completeness will be verified upon submittal.
 - Applicants are responsible for adhering to all FSGP delineated timelines.
 - Incomplete or late grant submissions will not be reviewed.
- FORC Review of Scientific Merit: The focus of the FORC review is to assess the scientific merit of proposals (see FSGP Rubric, FORC SciMerit). Scientific Merit scoring sheetsll be forwarded to the Office of Academic Affairs (OAA) on or before May 18 2020.
- 3. **Application Review Process:** A point system is used for scoring the proposals. The scoring rubrics used by the FORC and the OAA for FSGP proposals are available

here: https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support

- Faculty who plan to submit a grant application are strongly urged to review the rubrics carefully before completing a proposal.
- Three qualified reviewers will score each application. These reviewers will come from the FORC membership primarily with supplemental reviewers derived from qualified researchers within and external to the University.
- The FORC Chair or a designee (who is not evaluating the grant submittal for scientific merit and/or alignment may contact the PI for further information or documentation if requested by a reviewer.
- Applicants are required to inform the FORC in writing of any changes in the proposal after the submission date.
- 4. OAA Programmatic Review: The OAA will receive the reviewed applications from FORC and will subsequently complete an additional review to assess alignment of the project proposal with the funding criteria and funding priorities of the FSGP (see FSGP Rubric, OAA Programmatic). The final award decisions regarding which proposals are funded and the specific amount awarded will be based on the compilation of FORC scores and the OAA recommendations. Applicants will be notified via email regarding final award decisions by May 18, 2020.

Table: Dates for 2020 Funding Cycle

Step in application process

otop in application process	Duc dute
2020 Documents/Instructions/Applications Available	January 17, 2020
"Letter of Intent" to submit FSGP	March 16, 2020 – 9:00 am
FSGP Application Process Opens and Applications Accepted	March 16, 2020
FSGP Applications Process Closes (Complete Submittals Due)	April 20, 2020 – 9:00 am
FSGP Scientific Merit Review Process Commences	April 20, 2020*
FSGP Recommendations Forwarded to Office of Academic Affairs	May 4, 2020
FSGP Award Announcements Made to Grant Recipients	May 18, 2020
Grant Accounts Created and Monies Awarded	June 1, 2020

Due date

^{*} Incomplete applications will be automatically rejected as of this date.

INSTRUCTIONS FOR APPLICATION SUBMISSION

These guidelines are intended to assist with the submission of FSGP applications only. The FSGP application packet can be found at:

https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support.

Questions regarding the application can be addressed to the FORC Chair via email at facultyresearch@samuelmerritt.edu.

IMPORTANT NOTES

- Applicants are limited to submitting only one application per review cycle.
- Submission:
 - Electronic submission: Submit a PDF version of the application electronically via email to: facultyresearch@samuelmerritt.edu. (If files are too large to be emailed, please contact the FORC Chair to make other arrangements for electronic submission, e.g. the use of Dropbox.)
 - Hard copy submission: Submit 4 print copies to Veronica Paniagua Office of Academic Affairs, 450 30th Street, Suite 2718, Oakland, CA 94609.
- For questions regarding the FSGP program, eligibility, processes or application guidelines, email: facultyresearch@samuelmerritt.edu.

1. Letter of Intent

It is required that the faculty members who plan to apply for FSGP awards also submit a letter of intent (LOI) to the FORC Chair or his/her designee (and the PI's supervisor) prior to submitting a completed FSGP application. This LOI will help the FORC and OAA determine the potential workload for reviewing grant applications and also help determine the potential overall budget requirements to support the proposals while providing conversation between the PI(s) and respective supervisors regarding workload considerations. The LOI template can be found here: https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support

2. Application Formatting & Submission

- One electronic copy of the entire application along with 4 printed, hard copies must be submitted.
- The electronic version of the application is sent to <u>facultyresearch@samuelmerritt.edu</u>. (If files are too large to be emailed, please contact the FORC Chair or his/her designee to make other arrangements for electronic submission, e.g. the use of Dropbox). Ensure that the final electronic version of the application has Track Changes turned off and all editorial comments are either accepted or deleted. Convert the Word document to PDF

and submit the PDF version only. The FSGP Budget is an Excel file. Convert that Excel file to a PDF file and submit it as a separate document. NOTE: You will be submitting two separate documents, the main application packet and the budget template.

- Please adhere to the following filename conventions:
 - Application: Pllastname_FSGPapplication_MMDDYY
 - Budget: Pllastname_FSGPbudget_MMDDYY
- The print copies must be double-sided, paginated, and should be submitted to Veronica Paniagua, Office of Academic Affairs, 450 30th Street, Suite 2718, Oakland, CA 94609.
- The application must be prepared using <u>Times New Roman or Arial 11-point font with 1-inch margins</u>. Page numbers should be placed in the footer of the application document. Printed copies should be made on 8.5 x 11 inch paper.
- The proposal itself <u>cannot be more than 15 pages</u>, double-spaced. Supporting documentation and references are not included in the 15-page requirement. See Proposal Content section.
- Important points regarding the individual forms included in the application packet are delineated below.
- Convert the Word document to a PDF file for submission and the Budget Excel file to PDF file (see above.)
- The FORC and/or any external reviewers will review, score, and forward their scientific merit documents to the OAA by **May 4, 2020**.
- The OAA will review and score the applications and will make a final decision regarding funding the proposed FSGP projects by May 18, 2020.
- Applicants will receive notification of the decision including feedback from both FORC and OAA reviews by May 18 after the conclusion of both FORC and OAA reviews.
- In **June 2020**, the Finance Department will establish the grant's fund account and will notify the PI and OAA.
- No funds will be released until IRB/Biosafety approval has been obtained. OAA's designee will notify Finance when appropriate approvals have been obtained.

3. Components of the FSGP Application

There are 9 components in the application that must be completed in order to prepare a completed application—the forms are listed below and are available as one Word document and one Excel document (budget) here:

https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support.

1) Grant Proposal Checklist

- If any of the forms are determined to be incomplete, the entire application will be returned to the faculty member identified as the principal investigator without review.
- 2) Cover Letter
- 3) **FSGP Application Criteria Checklist** (see item 6 for more information)

- The purpose of this form is to provide the PI an opportunity to clearly articulate which FSGP category of support he/she is applying for. The applicant can only apply for one support category per application.
- Category 1 applications:
 - If the answer to one or more of the questions is yes, an explanation of how the proposed project meets the criterion/criteria should be included in the Proposal Content (see item 9.)
- Category 2 applications:
 - The PI can select only 1 of the 3 types of Category 2 programs (Bridge, Developing or Funded). The yes/no questions under the appropriate program should be answered AND an explanation of how the project meets the criteria for the program (listed on pp. 5 – 6 in the FSGP Categories of Faculty Scholarship Support document which can be found here: https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support).
 - The Proposal Content (see item 9) for Category 2 projects should not contain information that is redundant to what is written on this Checklist form, which is more of a reflection of the external funding status (both current and anticipated) of the project.

4) Supervisor Approval Form

- Proposals must include a letter from the Dean/Chair/Director/Designee of the school/department/program of the PI prior to submission confirming that:
 - scholarly activity is part of the PI's annual faculty evaluation goals, and this project is consistent with those goals (question 1 on the letter.)
 - o discussion has transpired between the appropriate supervisor and the PI reflecting that a plan is in place to cover his/her faculty obligations while completing the proposed project, and that the project fits with the overall function and goals of the PI's academic unit (question 2 on the letter.)
 - o the project budget has been reviewed (question 3 on the letter) AND approved as submitted. FSGP application submitters are strongly advised to obtain budget approval from the Dean/Chair/Director/Designee as early as possible in the application cycle to ensure that sufficient time is available to make any budget modifications required by the person signing the approval letter.
- Project teams for each proposed project may consist of multiple faculty from SMU as well as faculty/practitioners from other academic institutions and/or institutions. Provide the full name, professional title(s), academic rank (if applicable), institutional affiliation, and academic unit (school/department/ program) or clinical unit of each team member.

5) NIH Biographical Sketch

 Provide a biographical sketch using the NIH Biographical Sketch Form. To access a fillable copy of the NIH template, (including samples), copy and

paste the following link into your web browser: https://grants.nih.gov/grants/forms/biosketch.htm

6) Proposal Content

- The proposal content should be a clear and concise presentation of the intended scholarly work and include (but not be limited to) information that will answer the questions found in the FSGP Rubric (FORC SciMerit page).
- Additionally, if applying for Category 1 funding, a description of how the project meets the criterion/criteria selected on the FSGP Proposal Criteria Checklist in the Application package should be included.
- A 15-page limit (11-point font and 1-inch margins) must be followed;
 references and appendices are not included in this page limit
- Use the headings listed in the form (the sequencing of sections may vary).
 The headings on the Proposal Content form are:
 - I. Title
 - II. Abstract (500 word limit)
 - III. Background and Significance of the Project
 - IV. Purpose, Hypotheses, Aims, Objectives
 - V. Methods/Materials, Outcome Measures, Data Analysis and Management, and Results Analysis
 - VI. Budget

7) Project Budget (separate Excel workbook)

- All FSGP applications must include a detailed proposed budget for the entire project. A budget template is available as a separate Excel file and can be downloaded here: https://www.samuelmerritt.edu/academic-affairs/faculty-resources-and-support. All expected expenses must be provided in a line-by-line format. The budget detail may contain, but is not limited to, estimated costs for each of the items listed below. The template lists these items—add lines to the template as required. A narrative explaining how funds will be used during the project must also be included on the budget form. Capital equipment purchases cannot be included in the budget⁸. Consultation with SMU's Budget Director (Peggy Griffith) is strongly suggested for those applicants proposing a budget for a multi-year award. Appointments are required. Allowable budget expenses include the following:
 - Research assistants
 - Statistician expenses
 - o Consultant costs
 - Outside Faculty Paid Via an Independent Contract

FSGP_2020-01-17 15

_

⁸ A. A capital asset must have at minimum a useful life of two years and a purchase price (including sales tax, freight, and installation) of at least \$5,000.00. Carpeting and vinyl wall covering with a cost of at least \$15,000.00 can be capitalized.

B. Equipment purchased in quantities of two or more **identical items** with a unit value of at least \$500.00 and a lot value of at least \$7,500.00 will be capitalized. Purchases that do not meet these criteria will be charged against operating expense. Items will be considered identical if they have the same model or catalog number or are judged to be materially identical after examination by the CFO or another staff member designated by the CFO.

- Research instruments (non-consumables) and/or data analysis software
- Research supplies (consumables)
- Clinical supplies if required
- Office supplies
- Photocopy costs
- Publication costs (Note: all publications of FSGP projects must acknowledge support of the SMU Faculty Organization Research Program and the Office of Academic Affairs)
- Professional grants management services as necessary (inquire first if this applies)
- Other Costs
- Faculty Salary Support: The costs of faculty salary support can be requested and are included in the total cost of the project as part of the maximum funding available. A faculty member may choose to forgo any type of salary support. The decision of whether a faculty member chooses to request salary support or not needs to be discussed with the Dean or Chair.
 - Type 1 Release Time (Category 1 or Category 2): Faculty who have approved release time for the project (up to 144 hours) will budget the salary, taxes and benefits for adjunct or other faculty to cover their teaching responsibilities. This amount must be calculated in collaboration with the Pl's supervising administrator, e.g., Dean, Chair or Program Director.
 - Type 2 Faculty Supplemental Salary (Category 1 or Category 2): Faculty salary supplementation (in increments of \$4,000 to a maximum of \$12,000) can be added to faculty member/members' base pay over the term of the grant. The costs of taxes and benefits associated with supplemental salary support will also be part of the grant budget.
 - This support is provided for those faculty member(s) electing to continue their full teaching load while engaged in the FSGP project or in situations when release time is not available or possible.
 - Type 3 Mentoring support for Adjunct Faculty (Category 1 or Category 2): If release time for an FSGP applicant is approved, the adjunct faculty member who will assume teaching responsibilities for the course may need mentoring to teach that course. Salary support can be requested for the adjunct faculty member to cover the time of the adjunct while they are receiving that mentoring. The budget should include the salary taxes and benefits (if applicable) for the adjunct or other faculty member who is being mentored.
 - This support amounts to up to 15 hours of mentoring support for the adjunct faculty member per course for which the PI has been granted release time. Mentoring support is limited to a maximum of two courses per year.

- The amount of money to request for this area of support is calculated as follows: (\$SR) X (A) X (N) = total base salary for mentoring support requested
 - SR= Adjunct or other faculty member's salary rate (confirm with Dean or Chair)
 - A = the number of hours requested for adjunct faculty mentoring (to a maximum of 15 hours per course)
 - N = the number of courses for which mentoring support is being requested over the term of the grant. There is a maximum of 2 courses per year for which support can be requested, and the grant funding can extend over three years
- Received or expected additional funding for the research project
- Expected date(s) for submission of additional outside funding
- For multiple year grants, the proposed budget should show the estimated amount of the funding that will be used each year
- PIs may be asked to modify their funding requests for one of the following reasons:
 - in order to meet overall funding goals of the FSGP each year (this is determined by the OAA)
 - per the recommendation of FORC/outside reviewers after the initial proposal review if the scope of the project and the budget do not seem aligned.

8) Disclosure of Financial Interests in Research

• Required by all faculty submitting and participating in the research.

9) Protection of Human Participants and Certification of Biosafety

• All research conducted by SMU faculty members requires review by the IRB/Biosafety Committee, irrespective of where the research is conducted. Additionally, all research conducted on an SMU campus requires IRB approval. An IRB Checklist, which summarizes the IRB-related status of the proposed project, must be submitted for each institution where the research will be conducted. FSGP applications may be submitted prior to IRB/Biosafety approval of the proposal. However, any funding that is awarded is contingent upon IRB/Biosafety approval. IRB/Biosafety approval must be obtained within six months of grant award, or forfeiture of funds may occur. It is the Pl's responsibility to submit IRB applications in a timely manner in order to ensure that approval is received in sufficient time for funds to be allocated to the grant before the deadline for disbursing funds to the project.

4. Post Award

- Once awarded, the funds must be expended within three years.

 Dissemination of findings/results should be included in this timeframe.
- Once awarded, specific project funds will be assigned an activity account number.

- The Division of Business and Finance will report expenditures and deposits/income into this account. The PI will be responsible for monitoring the account and seeking clarification in the event that discrepancies arise on the financial reporting.
- The OAA will retain a copy of the fund account report and also monitor the fund account status.
- Any funds that are unused at the termination of the grant period will be returned to the OAA's general operating account at the end of the grant.

• Progress Reports

- Progress reports are required every 12 months, starting from the date of grant receipt, and at the completion of the funded project.
- Progress reports should be a brief 1-2 page summary of the status of the research and must be submitted to the FORC Chair and the Office of Academic Affairs via email at facultyresearch@samuelmerritt.edu.