Note: In order to provide support for pre-tenure faculty members, one important goal of this program is to ensure that every pre-tenure faculty member receives two summer grants within their first three years at the College. Therefore, funding priority will be given to pre-tenure faculty members in their first three years of service at the College who have not had funding or who have had a single summer grant.

POLICY AND PRINCIPLES FOR FACULTY SUMMER RESEARCH GRANTS
(Updated, February 18, 2015)

DEADLINE: 4:00 PM, THURSDAY, NOVEMBER 12, 2015
ELECTRONICALLY SUBMIT TO: wosp@wm.edu

Faculty Research Committee - College of William & Mary

Questions about this application should be directed to the Chair of the Faculty Research Committee, Ale Lukaszew, ralukaszew@wm.edu

Research, in a broad sense of the term, is an essential activity of the scholarly teacher. We consider "research" to consist of the discovery, creation, invention, or creative synthesis of new knowledge. The purpose of the summer research grant program is to encourage and support the development of members of the faculty as scholarly teachers. Since the distinction between research and other essential activities of the scholarly teacher is not always evident to non-specialists in the field, an applicant's proposal should explain clearly how the proposed activity fits the definition of research used here. The proposed research should also hold promise of leading to a meaningful contribution in its field. Publication, in the broad sense of submission of results to inspection and criticism by peers, ought to be the ultimate aim of projects, including projects involving creative arts, or projects that lead to exhibitions or performances.

The College strongly urges all faculty members to seek research support from outside sources. Indirect costs collected from outside grants provide a major source of funds for the College research program.

Service on the Faculty Research Committee
Service on the Committee takes a faculty member out of the competition pool for summer grants for the three year term of their service. All tenured members of the faculty are encouraged to volunteer to serve on the Faculty Research Committee. It is hoped that those who have received support from the Faculty Research Committee will be especially willing to serve.

Summer Program

Eligibility
Only members of the faculty, as defined by the bylaws of the several faculties of the College, who are not emeriti and who are tenure-eligible or tenured, are eligible to apply. Faculty members who have already received two summer grants from the College in the most recent five-year period are not eligible to apply.
Funding Priorities

In order to provide support for pre-tenure faculty members, the primary goal of this program is to ensure that every pre-tenure faculty member receives two summer grants within their first three years at the College. Funding priority will be given to pre-tenure faculty members in their first three years of service at the College who have not had funding or who have had a single summer grant.

Conditions and Expectations

1. Funding is predicated on: (a) approval of the Chair of the home department and the Dean of the School; (b) the submission of a clearly written proposal describing the planned summer research project; and (c) demonstrated productivity from any previous summer grant(s).

2. Grants are made with the expectation that the recipient will remain in the service of the College. A recipient who resigns from or is not retained by the College will be required to relinquish the grant or the unexpended portion thereof.

3. Grants are made with the expectation that the recipient will execute the work plan as described in the proposal, and perform the work within the period proposed. Other supported research, or paid or unpaid teaching, may also be done by the recipient during a summer in which this grant is received, so long as other work is adjusted to meet the obligations of the summer grant.

4. The grant may be used for summer salary and/or research expenses. The Office of the Vice Provost for Research and Graduate/Professional studies will notify the applicant in April on how to access the grant funds.

5. Summer grants provide funds to promote the initiation of new work or to support the continuation of ongoing work. They also help faculty to acquire, enhance, or increase independent or external funding (grants, contracts, gifts, etc.) to sustain research and creative efforts. Thus, the FRC may consider existing and pending support in evaluating proposals. Should a recipient win a major external research award during the execution of a summer grant award, he or she thereafter will consult with the Office of Sponsored Programs as soon as possible.

6. Recipients of summer research grants should acknowledge the support of the College in all subsequent publications or other work arising from summer grant research.

7. Summer grant recipients must provide a report that is approximately two pages long, presenting the results of their summer research. The report should be submitted to the departmental Chair, Dean, Vice Provost for Research and the Provost and should include a description of any significant changes from the initial proposal.
This report should be submitted no more than one month after the start of classes in the fall.

*Failure to submit this report in a timely fashion may cause the recipient to be ineligible for future grants.*

**Proposal and Evaluation Criteria**

A proposal for a summer research grant should provide a clear, detailed and succinct description of the proposed summer project. Further, the proposal should state if the project is part of a larger, ongoing research effort. The proposal should clearly delineate the significance of the project, particularly how it will contribute to new knowledge or produce original creative work. Given that the application will be read by colleagues familiar with research, but who are not experts in the applicant's field, the application should describe the project in a way comprehensible to non-experts in the discipline.

The proposal should be approximately 1,000 words, single-spaced, double-spaced between paragraphs, with a minimum of one-inch margins. Proposals which significantly exceed this length will not be considered for funding. Proposals must be e-mailed to wosp@wm.edu. All information should be included in a single pdf file. (Please do not include the instructions with the submitted application/attachment package).

Information in the application that is found to be inaccurate may cause an application to be removed from consideration.

**Evaluation Procedure**

All Faculty Research Committee members will receive copies of submitted proposals. Subcommittees will be formed to provide the necessary expertise to review the content and scholarly merit of proposals. In the event of a conflict of interest (or perceived conflict of interest), the FRC member will recuse himself from participating in the review process.

The subcommittees will evaluate the quality of the proposals, the clarity of project design, and the potential for a successful outcome. They will also evaluate demonstrated results of prior summer support as documented by the appended summer grant project reports (new requirement) previously submitted to the Provost and Vice Provost for Research.

Proposals that do not meet the initial screening criteria will be judged to be "unfundable." The subcommittee will provide the Chairperson with a brief explanation of why the proposal was deemed unfundable, and the Chairperson will inform the applicant of the reasons for this decision.

Remaining proposals will be rated "potentially fundable." Proposals in this category will be ranked by the subcommittees based on the criteria described above. Since there may not be sufficient funds to support every “potentially fundable” proposal, all proposals will be evaluated and ranked.
After proposals are ranked by the subcommittees, the full committee will meet to create a single list of ranked applications. To arrive at the single list, the Committee will seek consensus. The Chair may call for secret ballot to make final funding determinations. In making a final decision, Committee members will consider the stated criteria as well as any other pertinent information. Since each member of the Committee may give different weights to these criteria, the Committee as a whole may not be able to offer an explanation of the individual judgment of its members in arriving at its final decision. It is the responsibility of the Committee and subcommittee chairpersons to respond as fully as possible to inquiries regarding the decisions of the Committee.

**Joint Applications**

The Committee will accept applications for projects to be conducted jointly by eligible faculty members, including interdisciplinary projects. Applications should clearly state the scope of work, the planned division of labor, and qualifications, skills, and expertise of proposed team members. If the applicants are willing to share a stipend, a single application may be submitted. If each applicant is seeking a stipend, each must submit a separate application for funding that outlines their respective roles and responsibilities.

For the purpose of determining potential fundability, joint projects will be considered as indivisible units. They will be ranked among the projects of individual applicants and will fill as many contiguous places in the ranking as there are applicants on the project. If one applicant of a joint project later decides to withdraw, funding for remaining applicants may be adjusted. [Note: The remaining applicant may submit a document stating how his/her research may continue despite the withdrawal of a partner.] The Provost reserves the right to withdraw funding after reviewing the impact of one or more participant withdrawals. No applicant in a joint application will receive an award unless sufficient funding is available for all applicants who request it within that proposal.

**Policy on Late Applications**

Except as described in the next paragraph, applications received after the deadline will not be accepted and material received after the deadline will not be considered.

Under certain conditions, the Committee will consider applications after the deadline for faculty members who have pending support from outside sources. To be eligible the applicant must either have received full summer support from a funding agency or foundation for summer(s) immediately preceding the time of application and must have applied for renewal of outside support before the deadline set by the agency or foundation. In addition, the applicant must show that the application for renewal was denied after the summer support deadline of the Faculty Research Committee.

To apply under these circumstances the applicant should submit a statement (including supporting documents) justifying the late application, along with the normal application form. The committee will make one of two recommendations to the Provost regarding late submissions: a) that it should not be funded; b) that it is excellent and should be funded if
additional funds are available.

**Notification and Payment**

The Provost’s Office will notify applicants of the outcome of the selection process by January 15, 2016.

The grant may be used for summer salary and/or research expenses. The Office of the Vice Provost for Research and Graduate/Professional Studies will notify the applicant in April on how to access the grant funds.

(last revised by FRC April 2015)
APPLICATION FOR FACULTY SUMMER RESEARCH GRANT

(FORM VALID ONLY FOR ACADEMIC YEAR 2015-2016)

DEADLINE: 4:00 PM, THURSDAY, NOVEMBER 12, 2015

Faculty Research Committee - College of William & Mary

Instructions: Submit one complete electronic copy (in a single pdf file: please indicate PI name in file name) of this application (which includes the application form-not the instruction package- and all the required materials requested including curriculum vitae and final reports of prior Summer Research Grants) to the Office of Sponsored Programs (wosp@wm.edu).

The applicant should read the Research Committee's "Policy and Principles for Faculty Summer Research Grants" before completing the application. Failure to follow the instructions on this form may result in an unsuccessful application. Any information in the application that is found to be inaccurate may cause an application to be removed from consideration.

Please provide the following information, typed and in the spaces provided, on this cover page.

1. Name:____________________________________________________ Date:______________

2. Position:_____________________________________________________________________

   Title                                                                Department/School

3. Project Title:_________________________________________________________________

   __________________________________________________________________________

   ____ Check here if your proposal can be placed in the Successful Proposal Library should it be funded. This will allow future applicants to view your proposal.

4. Please indicate in which Area (I, Arts & Humanities; II, Social Sciences, including the Schools of Business, Education, and Law; or III, Natural Sciences) your proposal should be considered. Consult the undergraduate catalog for the classification of departments according to Area. ___________________
5. Years in a qualified position at William and Mary __________________________

6. a) If you have a restricted appointment, do you expect to be continued?_______

   b) If you are untenured, in what academic year/semester will you formally be reviewed for tenure as agreed upon with your department/school?______
7. Institutional Compliance Committees: Answer each question below by checking the boxes. If you answer YES to any question, you will need to be sure you login to create a protocol and receive approval from the appropriate compliance committee prior to distribution of funding:

**Protocol and Compliance Management system:**
https://www.wm.edu/offices/sponsoredprograms/preaward/policies/compliancereqs/index.php

You must certify by checking the boxes below that you recognize the need to submit the necessary forms to the appropriate committee(s).

Final disbursement of funds for your proposal will await approval by the appropriate compliance committee(s). Contact the committee chairs if you have any questions about obtaining required approvals.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Questions</th>
<th>Committees to Contact if answer YES to questions</th>
<th>Check here to CERTIFY that this proposal has been submitted to the appropriate committee(s) or include existing approval number</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Will this project involve surveys or testing of human subjects?</td>
<td>Protection of Human Subjects Committee, Chair: Ray McCoy, <a href="mailto:rwmcco@wm.edu">rwmcco@wm.edu</a></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Will live vertebrate animals be used in this project?</td>
<td>Institutional Animal Care and Use Committee, Chair: Robin Looft-Wilson, <a href="mailto:rlooft@wm.edu">rlooft@wm.edu</a></td>
<td></td>
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<tr>
<td></td>
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<td>Will this project use any (a) recombinant DNA molecules (including transgenic animals or the transfection of cell lines), (b) infectious agents, (c) human tissue or body fluids (including saliva, urine, blood, semen, or primary human cell cultures), or (d) wild-caught or random source animals or animal tissue (for anyone employing animals that may carry zoonotic disease)?</td>
<td>Institutional Biosafety Committee, Chair: Kim Reece, <a href="mailto:kreece@vims.edu">kreece@vims.edu</a></td>
<td></td>
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<td></td>
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<td>Will this proposal involve research with radioactive material?</td>
<td>Institutional Radiation Safety Committee, Margaret Saha, <a href="mailto:mssaha@wm.edu">mssaha@wm.edu</a></td>
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</table>
8. Have you held a full-time academic position(s) (understood to mean formal appointment at the level of instructor or above, with full instructional responsibilities—excluding teaching assistantships, postdoctoral fellowships, and similar positions at other senior institutions) since receiving your Ph.D. and prior to coming to William & Mary?

____ If yes, list the beginning and ending dates of these position(s), including title and university.
9. Please check the applicable boxes concerning previous summer research grant proposal submissions and awards (count only those from the College of William and Mary). If you have received no previous summer research grants, write “none” in following space

<table>
<thead>
<tr>
<th>Summer when grant was (or would have been) received</th>
<th>Summer Grant Submitted?</th>
<th>Summer Grant Submitted?</th>
<th>Summer Grant Awarded?</th>
<th>Summer Grant Awarded?</th>
<th>Summer Grant Accepted?</th>
<th>Summer Grant Accepted?</th>
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</thead>
<tbody>
<tr>
<td>Summer 2014</td>
<td>YES</td>
<td>NO</td>
<td>YES</td>
<td>NO</td>
<td>YES</td>
<td>NO</td>
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<tr>
<td>Summer 2013</td>
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<td>Summer 2012</td>
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<td>Summer 2011</td>
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<td>Summer 2010</td>
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</table>

Depending on the answer to the questions in the above table, please provide typed answers to the following questions (10, 11, and 12) by attachment to your cover sheet.

10. If you were awarded a summer grant and declined it, and wish to comment about why it was declined, please do so here.

11. If you received previous summer grant funding, attach a copy of your final report submitted to the Chair, Dean, Vice Provost of Research, and Provost (pdf file).

12. Please indicate publications or other tangible results of each summer grant award you have previously received.
Current and Pending Research Support

13. List all sources of intramural support for your work (except for previous summer grants above). Include SSRL (semester leave) or other leaves, university fellowships, May seminars, or any other departmental, school, or College supplements.

14. List all current sources, titles, and amounts of all outside funding (fellowships, scholarships, external stipend allowances, foundation or agency grants, contracts, or cooperative agreements) for your research work at the College (exclude consultancies and other paid external work).

15. List titles, amounts, and funding sources for any submitted, pending proposals or proposals in progress to support the present project that you may submit for outside funding during the next 6 to 12 months.

16. List any prior proposals (source, title, amount and year) to support the present project or related work that you submitted during the last 6 years.

17. List any leaves of absence that may have interrupted your research during the last 6 years.
18. Please begin at the top of a separate page and describe within **approximately 1,000 words** (single-spaced, doubled-spaced between paragraphs, minimum of one-inch margins, no smaller than 12 point type), the nature and significance of your project. Supplementary material, such as references, invitation letters, diagrams, schema, or narrative illustrations, may be attached to the proposal, but this material must be limited to **three pages**. **Additionally**, attach previous results from awarded summer grants (2 page reports submitted to Chair, Dean, Vice Provost for Research/Graduate Studies and Provost).

Explain in terms intelligible to non-specialist readers the topic you intend to investigate, indicating the relationship between your proposed work and current understanding of the topic. Explain the method of investigation you will employ. Discuss the current status of the project as well as the probable state of completion which this grant would make possible, including your plans to publish or otherwise use the results of the investigation. If the proposed use is not publication, explain its relationship to accepted forms of research communication in your discipline. If you are also applying for a semester research assignment and the proposals are related, discuss the relationship and justify the need for each grant independently.

18. Attach a copy of your standard form curriculum vitae to each copy of the proposal. (This standard form is available electronically at: [http://www.wm.edu/offices/sponsoredprograms/preaward/internal/CVForm/index.php](http://www.wm.edu/offices/sponsoredprograms/preaward/internal/CVForm/index.php)

**It is your responsibility to ensure you have downloaded the entire application form for completion of your application.**

Submit only the application and attachments to wosp@wm.edu (not the instructions).

Please note that proposals which do not adhere to these guidelines will not be considered.