

Proposed changes to FRA evaluation procedures (4-22-04):

The changes presented here involve a clarification primarily in the evaluation procedures carried out by the committee and its subcommittees. The categories involved are based on the present language in the application, which the committee has let stand as is for the moment.

The goal of this revision is to encourage committee members to make more substantive comments as part of their evaluation procedures which can be used by each of the subcommittees in coming to an overall assessment of each application, and which can then form the basis of a committee report to the candidate if the candidate requests further clarification of the committee's decision. The goal of this is to provide both a qualitative evaluation of the proposal (which will aid in discussion and reporting), as well as a quantitative one (which will aid the committee in normalizing the evaluations from the different subcommittees).

The revision also places the various elements of the evaluation in terms of their priority to the evaluation, as reflected in the various descriptions contained in the application: merit & clarity first, followed by productivity, with consideration of prior FRAs received and years of service being considered among proposals of comparable quality.

The committee welcomes any comments on these revisions.

John Eisele
Dept. of Modern Languages & Literatures

Proposed worksheet for the subcommittees:

The FRA proposal will be evaluated as: 1) fair 2) average 3) good 4) very good 5) outstanding based on the degree to which it fulfills the following criteria:

The primary criteria are: merit, clarity & productivity	
It is the responsibility of the applicant to demonstrate that the proposed activity satisfies these criteria, outlined as follows:	Comments
1) Merit/clarity of the research:	
a) "Research" is considered to consist in the discovery, creation, invention, or creative synthesis of new knowledge b) Proposed project should have potential of leading to a meaningful contribution in its field c) Clarity is taken by the committee to be a mark of good scholarship d) The application should state specifically what the applicant intends to do. e) It should make the project comprehensible to colleagues familiar with research, who are not experts in the applicant's field	
Merit/clarity assessment: very good 5) outstanding	1) fair 2) average 3) good 4)
2) Productivity	
a) Productivity is defined as the publication of the research in peer-reviewed formats (recognized journals and periodicals, monographs, etc.), b) the applicant's active participation in peer-reviewed conferences or other accepted forms of research communication in the applicant's discipline. In evaluating the productivity of the applicant the committee will take into account the following: c) It must be clear that peer-reviewed publication or dissemination ought to be the ultimate aim of the project under submission. d) The research record of the applicant, including the existence of <i>tangible results</i> from previous research support (both summer grants and semester research assignments). e) Grants received or applied for by the applicant	
Productivity assessment: very good 5) outstanding	1) fair 2) average 3) good 4)
Total (merit & productivity):	
Other factors:	
3. <i>Among proposals of comparable quality</i> , special consideration will be given to applicants who have not previously received a faculty research assignment.	
4. <i>Among proposals of comparable quality</i> , special consideration will be given to applicants who have not received an FRA in more than six years	
Overall assessment:	

Present wording:

The Proposal

1. The proposed project should have the potential 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 the project. It is the responsibility of the applicant to demonstrate that the proposed activity satisfies these, as well as the Committee's definition of research. Here, "research" is considered to consist of the discovery, creation, invention, or creative synthesis of new knowledge

2. The application should state specifically what the applicant intends to do. It will be read by colleagues familiar with research, but who are not experts in the applicant's field, and the application should make the project comprehensible to them. The Committee believes that clarity is a mark of good scholarship. The proposal must be single-spaced, double-spaced between paragraphs, with at least one-inch margins, and be no longer than 1,000 words. Proposals which do not adhere to the length limitation will not be considered for funding.

Note: The Office of Grants and Research Administration has copies of past successful grant applications on file, should you wish to review them.

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

4. Chairs/Deans should be made aware of any FRA application before it is submitted.

Proposed revision:

The research proposal will be evaluated on the basis of its merit (including the clarity of the proposal) and the applicant's productivity. It is the responsibility of the applicant to demonstrate that the proposed activity satisfies these criteria.

1. Regarding "merit": research is considered to consist in the discovery, creation, invention, or creative synthesis of new knowledge. Therefore the proposed project should have potential of leading to a meaningful contribution in its field. Clarity is taken by the committee to be a mark of good scholarship, therefore the application should state specifically what the applicant intends to do and it should make the project comprehensible to colleagues who are not experts in the applicant's field.

2. Regarding "productivity": productivity is defined as the publication of the research in peer-reviewed formats (recognized journals and periodicals, monographs, etc.), or its dissemination through the applicant's active participation in peer-reviewed conferences or other accepted forms of research communication in the applicant's discipline. In evaluating the productivity of the applicant the committee will take into account three aspects of productivity: (1) The applicant must make it clear that peer-reviewed publication (or similar types of dissemination appropriate to the discipline) ought to be the ultimate aim of the project under submission. (2) The prior research record of the applicant, including the existence of *tangible results* from previous research support (both summer grants and semester research assignments) will be considered. (3) Grants received or applied for by the applicant in the most recent period prior to the application will be taken into account.

3. Following the evaluation of proposals based on these criteria, among proposals of comparable quality, special consideration will be given first to applicants who have not previously received a faculty research assignment, and second to applicants who have *not* received an FRA in *more* than six years.

4. Any inaccurate information in the application that is found to be may cause an application to be removed from consideration. Candidates should make certain that they have supplied the Provost with reports of previously funded research leaves, since the absence of such reports could adversely affect the candidate.

5. Chairs/Deans should be made aware of any FRA application before it is submitted.

Note: The Office of Grants and Research Administration has copies of past successful grant applications on file, should you wish to review them.

Present wording:

Criteria and Procedures of the Committee

1. All Committee members will receive copies of all proposals submitted.
2. Subcommittees, defined by the three Areas designated in the College catalog (I, II, and III, with the Schools of Business, Education, and Law considered within Area II), will meet for discussion of the proposals within each area. Each subcommittee will provide the full Committee a report recommending the proposals to be funded. The two main criteria will be a) the clarity and merit of the project, including the likelihood that it will result in a meaningful contribution in its field, and b) the research record of the applicant, including the existence of tangible results from previous research support (both summer grants and semester research assignments). These are the two main criteria, but years of service beyond six shall also be considered. The distinction between funded and unfunded proposals may differ from year to year, depending on the overall quality of applications, and availability of funds. Special consideration will be given to applicants who have not previously received a faculty research assignment.
3. Since each member of the Committee may give different weights to these criteria, the Committee as a whole will not be able to offer an explanation of the individual judgment of its members in arriving at its final decision. However, it is the responsibility of the Committee and subcommittee chairpersons to respond as fully as possible to inquiries regarding the decisions of the Committee. The final recommendations of the Committee will be forwarded to the Provost. The number of faculty research assignments that the committee recommends for funding will affect its subsequent decisions on the number and/or dollar amount of summer research grants to be recommended.

Proposed revision:

Criteria and Procedures of the Committee

1. All Committee members will receive copies of all proposals submitted.
2. Subcommittees, defined by the three Areas designated in the College catalog (I, II, and III, with the Schools of Business, Education, and Law considered within Area II), will meet for discussion of the proposals within each area. Each subcommittee will provide the full Committee a report recommending the proposals to be funded. Committee members are encouraged to record their comments as part of their evaluation procedures which can be used by each of the subcommittees in coming to an overall assessment of each application, and which can then form the basis of a committee report to the candidate if the candidate requests further clarification of the committee's decision. The goal of this is to provide both a qualitative evaluation of the proposal (which will aid in discussion and reporting), as well as a quantitative one (which will aid the committee in normalizing the evaluations from the different subcommittees).

The two main criteria will be:

- a) the merit and clarity of the research project, where "research" is considered to consist in the discovery, creation, invention, or creative synthesis of new knowledge. The committee will consider the potential of the proposed project for a meaningful contribution in its field. Clarity is taken to be a mark of good scholarship, and the committee will evaluate the application according to the degree to which the applicant has stated specifically what he/she intends to do in the course of the research and the degree to which the project is comprehensible to colleagues who are not experts in the applicant's field.
- b) the productivity of the applicant, where "productivity" is defined as the publication of the research in peer-reviewed formats (recognized journals and periodicals, monographs, etc.), or its dissemination through the applicant's active participation in peer-reviewed conferences or other accepted forms of research communication in the applicant's discipline. In evaluating the productivity of the applicant the committee will take into account three aspects of productivity: (1) The applicant must make it clear that peer-reviewed publication (or similar types of dissemination appropriate to the discipline) is the ultimate aim of the project. (2) The prior research record of the applicant, including the existence of *tangible results* from previous research support (both summer grants and semester research assignments) will be considered. (3) Grants received or applied for by the applicant in the most recent period prior to the application will be taken into account.

3. Following the evaluation of proposals based on these criteria, among proposals of comparable quality, special consideration will be given first to applicants who have not previously received a faculty research assignment, and second to applicants who have *not* received an FRA in *more* than six years.

4. Since each member of the Committee may give different weights to these criteria, the Committee as a whole will not be able to offer an explanation of the individual judgment of its members in arriving at its final decision. However, it is the responsibility of the Committee and subcommittee chairpersons to respond as fully as possible to inquiries regarding the decisions of the Committee. The final recommendations of the Committee will be forwarded to the Provost. The number of faculty research assignments that the committee recommends for funding will affect its subsequent decisions on the number and/or dollar amount of summer research grants to be recommended.

From the application itself (item #10):

Present wording:

10. Please begin at the top of a separate page and describe within a **maximum of 1,000 words** (single-spaced, double-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**. Explain in terms intelligible to nonspecialist 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 summer research grant and the proposals are related, discuss the relationship and justify the need for each grant independently.

Proposed revision:

10. Please begin at the top of a separate page. Describe the nature and significance of your project, within a maximum of 1,000 words (single-spaced, double-spaced between paragraphs, minimum of one-inch margins, no smaller than 12 point type). Proposals which do not adhere to the length limitation will not be considered for funding. 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. Explain the topic you intend to investigate, stating specifically what you intend to do. Indicate the relationship between your proposed work and the current understanding of the topic. Explain the method of investigation you will employ, clarifying how the research involved will lead to the discovery, creation, invention, or creative synthesis of new knowledge, and how it may have the potential of leading to a meaningful contribution in its field. This should be done in terms intelligible to nonspecialist readers and the proposal should make the project comprehensible to colleagues who are not experts in the applicant's field. 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 summer research grant and the proposals are related, discuss the relationship and justify the need for each grant independently.

POLICY AND PRINCIPLES FOR FACULTY SUMMER RESEARCH GRANTS
(Revised, *September 2003*. Portions of text in *bold and italics* are additions/changes from last year's policies.)

DEADLINE: THURSDAY, 9 OCTOBER 2003

Faculty Research Committee - College of William & Mary

Questions about this application should be directed to the Chair of the Faculty Research Committee, Dale Hoak, Department of History
(email: dehoak@wm.edu, phone: 1-3750)

Service on the Faculty Research Committee

All tenured members of the faculty are encouraged to be available to serve terms on the Faculty Research Committee. However, barring understandable extenuating circumstances (personal or professional), a faculty member is expected to be available for a three-year term on the Faculty Research Committee within three of the four years following completion of a Faculty Research Assignment (FRA, a.k.a. Faculty Semester Research Grant). It is hoped that those who have received support from the Faculty Research Committee will be especially willing to serve on the Committee, if called upon.

Because service on the Committee takes a faculty member out of the competition pool for summer grants for three years, some adjustment must be made for those serving on the Committee. Therefore, upon completion of a three-year term on the Committee, a faculty member may choose between (1) having an additional year of credit added to his or her service record for purposes of FRA eligibility, or (2) having an additional year added to eligibility for summer grants, and receiving special consideration for his or her next summer grant application, equivalent to that given to untenured faculty who are making their first request for intramural summer support. This benefit may be taken at any time following service on the committee. To claim the benefit on an FRA application, a statement must be included on the "Number of Service Years" section of the application form indicating a desire to use the FRC service benefit. To claim the benefit on a summer research grant application, a statement must be included at the top of the application form indicating a desire to use the FRC benefit. Although completion of three years of service is an absolute requirement for this benefit and in normal circumstances the three years would be served consecutively, the requirement of consecutive service might be waived when there are extenuating circumstances (personal or professional).

Research, in a broad sense of the term, is an essential activity of the scholarly teacher. Here, "research" is considered 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 the project.

Each year a number of summer research grants are designated "Alumni Research Grants" in recognition of financial support of alumni to the program. Both regular summer grants and Alumni Research Grants will carry the same stipend.

Eligibility

[*Current policy*: 1. All members of the faculty, as defined by the bylaws of the several faculties of the College, who are not emeriti and who hold a contract for full-time employment from the College with a commitment for renewal beyond one year, are eligible to submit an application. However, priority is given to faculty who are tenure-eligible or tenured. Those faculty who have already received three or more summer grants from the College are not eligible to apply.]

[*Proposed change*: 1. All 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 submit an application. Members of the faculty who have received three summer grants from the College in the most recent 5-year period are not eligible to apply.]

2. An applicant who is a candidate for the terminal degree in his or her field may apply and receive a grant, provided that all degree requirements have been successfully completed before March 1 of the year in which the grant is to be awarded. A letter from the degree-granting institution certifying completion of all requirements must be filed with the Provost's office.

Conditions of Grants

1. 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.

2. Grants are made with the expectation that the recipient will devote full energies to research. Teaching at the College or elsewhere is inconsistent with terms of an SRG. Other research conducted with salary support from another College or external source, or employment of any kind, e.g. consulting, is consistent with the terms of an SRG only if the Committee certifies that it does not conflict with the applicant's ability to complete the proposed project (recipients should be prepared to provide appropriate documentation about the time involved in any additional professional commitments). Summer National Science Foundation Research Experiences for Undergraduates (NSF REU) and Reves Center faculty research support, including Borgenicht Foundation awards, are consistent with the terms of a SRG without Committee authorization.

3. Should the recipient of a grant receive salary support of at least \$1,000 from any other source for a research project during the period for which the College grant is made, the Committee will adjust the amount of its grant in such a way that the amount received from both sources is equal to the larger of the two grants. For the purpose of calculating eligibility for future summer grants (see #3 under Eligibility above), a faculty member who receives support from any other source

such that the College contribution to summer support amounts to less than one-half of a summer grant will be deemed not to have received a summer grant that year.

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

5. Recipients of summer research grants should provide to the Provost a brief, no more than two-page, report of the results of their summer research. This report should be submitted to the Provost no more than one month after the start of classes in the fall. Failure to submit this report in a timely fashion will cause the recipient to be ineligible for a grant in the following year.

Other Policies

1. Applicants may apply for both a semester research assignment and a summer research grant. If the projects are related, the applicant should explain the relationship as part of each proposal and provide independent justifications for seeking two types of grants. Unless the need for each grant is clearly justified, the Committee will not recommend that both awards be granted.

2. If an applicant has extraordinary needs for travel or other expenses related to the project, an application should be made through the Minor Research Grant program. Note: the Reves Center for International Studies is a separate potential source of funds for international travel for which you may wish to apply. Contact the Reves Center for more information.

The Proposal

An application for a summer research grant should state specifically what the applicant intends to do. The application will be read by colleagues familiar with research, but who are not experts in the applicant's field, and the application should make the project comprehensible to them. The Committee believes that clarity is a mark of good scholarship. The proposal should be contained within a maximum of 1,000 words, single-spaced, double-spaced between paragraphs, with a minimum of one-inch margins. Proposals which do not adhere to the limitation on length will not be considered for funding. Note: The Office of Grants and Research Administration has copies of past successful grant applications on file, should you wish to review them.

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

Evaluation Criteria

Within the limits of available funds, the Committee desires to support research in all fields and by all members of the faculty. The intrinsic scholarly merit of the project, to the extent that it is successfully communicated in the research proposal, is one of the Committee's primary concerns, as is the previous research record of the applicant. Applicants who have received considerable support in the past are expected to have shown "tangible results" when applying for subsequent grants.

Summer Research Grant applications are evaluated on a ten point scale. For faculty beyond the third year of their careers (that is, those who have already spent three years in a full-time academic position, tenure-eligible or not, at William and Mary or any institution), a maximum of five points is awarded for the proposal's intrinsic merit and a maximum of five for the applicant's previous research record. For faculty still in the first three years of their academic careers, proposals are evaluated solely on the basis of the proposal's intrinsic merit with a maximum of 10 points being awarded for intrinsic merit.

[*Current policy:* Moreover, tenure-eligible faculty who have not yet spent more than five years in a qualified position (assistant professor, visiting or otherwise, or equivalent, called lecturer in some countries, ABD/PhD) are awarded three bonus points if they have not yet received a William and Mary Summer Research Grant; those who have already had one SRG receive two bonus points; and those who have had two grants receive one bonus point. (See "The Decision Process for Assigning Points" at the end of this document for more information. Such points apply only to tenure-eligible faculty.)]

[*Proposed change:* Moreover, tenure-eligible faculty who have not yet spent more than five years in a qualified position (assistant professor, visiting or otherwise, or equivalent, called lecturer in some countries, ABD/PhD) are awarded three bonus points if they have not yet received a William and Mary Summer Research Grant; and those who have already had one SRG receive two bonus points. (See "The Decision Process for Assigning Points" at the end of this document for more information. Such points apply only to tenure-eligible faculty.)]

All applicants should take pains to follow carefully the guidelines for proposal preparation described in this document. The Committee will respond to requests for explanations of unfavorable decisions, regarding both the structure and the merits of a proposal, from all applicants.

The Committee strongly urges all faculty to seek research support from sources outside the College. Indirect costs collected from outside grants provide the major source of funds for the College research program. Evidence of efforts to seek outside funding, even if unsuccessful, strengthens an application. To assist you in locating outside funding sources, all applicants are strongly encouraged to register for **Community of Science (COS)**, a system through which you can search for funding opportunities and create funding alerts that will send notices to you via email based on your research or scholarly interests. A link for COS can be found at <http://www.wm.edu/grants/>. Assistance with COS and other information about external funding sources may be obtained from the Office of Grants and Research Administration.

Procedures of the Committee

(The following process will take place after the committee has decided upon its recommendations regarding faculty research assignment applications for those faculty with six or more years of service. The number of faculty research assignments that the committee recommends for funding will affect its subsequent decisions on the number and/or dollar amount of summer research grants to be recommended).

All Committee members will receive copies of all proposals submitted. Subcommittees composed of members of the Research Committee will be created for each of the three Areas designated in the College catalog (I, II, and III). The proposals will then be allocated to the three areas according to the department or school of the applicant, unless he or she requests a specific area for evaluation. Applications from the Schools of Business, Education, and Law are considered within Area II, unless otherwise requested.

Each subcommittee will first consider whether any of its proposals are poorly explained or justified, or whether any applicants have received support in the past but have shown insufficient tangible results. In either case, these are grounds for judging such proposals "unfundable." In this case the subcommittee will provide the Chairperson with a brief explanation of why the proposal was unfundable, and the Chairperson will inform the applicant of the reasons for this decision. The remaining proposals will be rated "potentially fundable" based on the above stated criteria. Proposals in this category will be ranked by the subcommittees.

Once the pool of potentially fundable proposals has been examined by members of the subcommittees, the full Committee will meet for the purpose of making recommendations to the Provost. The first task will be to combine the three ranked lists from the subcommittees into one, consistently ranked list of summer grant applications. The Committee will discuss the proposals in these categories to see if a consensus can be reached regarding which proposals to fund. If that fails, a secret ballot will be taken to determine the Committee's recommendation. In making its decision, the Committee members will consider the criteria stated above as well as any other pertinent arguments. Since each member of the Committee may give different weights to these criteria, the Committee as a whole will 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.

Policy on Joint Applications

The Committee will accept applications for projects to be done jointly by eligible faculty members, including interdisciplinary projects. 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. In addition to an explanation of the project, the application should contain a justification of the individual's role, including the quantity of work to be done, the planned division of labor, and any special expertise which makes the individual essential to the project.

For the purpose of distributing available funds, 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, all applicants will forfeit their grants. Whatever the rank assigned to a joint proposal, no one of the applicants will receive an award unless the Committee has available a sufficient number of grants for all applicants on the proposal. If a sufficient number of awards are not available by June 1, any available awards may be reassigned to lower-ranking proposals.

Policy on Late Applications

Applications received after the deadline will not be accepted and no material received after the deadline will be considered.

However, under exceptional circumstances the Committee will consider applications after its deadline. The rationale for considering late applications in these cases is to encourage faculty to seek outside support for their research. The Committee feels that faculty who have steadily received summer support from outside sources, and who might therefore not expect to need to apply to the Committee, should nevertheless have an opportunity to present their case in the event that their support is unexpectedly terminated. To be eligible the applicant must have received full summer support from a funding agency or foundation for at least the two summers immediately preceding the time of application and must have applied for renewal of this 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 deadline of the Committee (thus making it impossible for the applicant to apply for summer support at the normal time). To apply under these circumstances the applicant should submit the normal application form of the Committee as well as a statement (including supporting documents) justifying the late application.

After the Committee has considered the application, it will recommend to the Provost: a) that it not be funded; b) that it is excellent and should be funded if additional funds are available; or c) that it is excellent and should be funded out of next year's allocation.

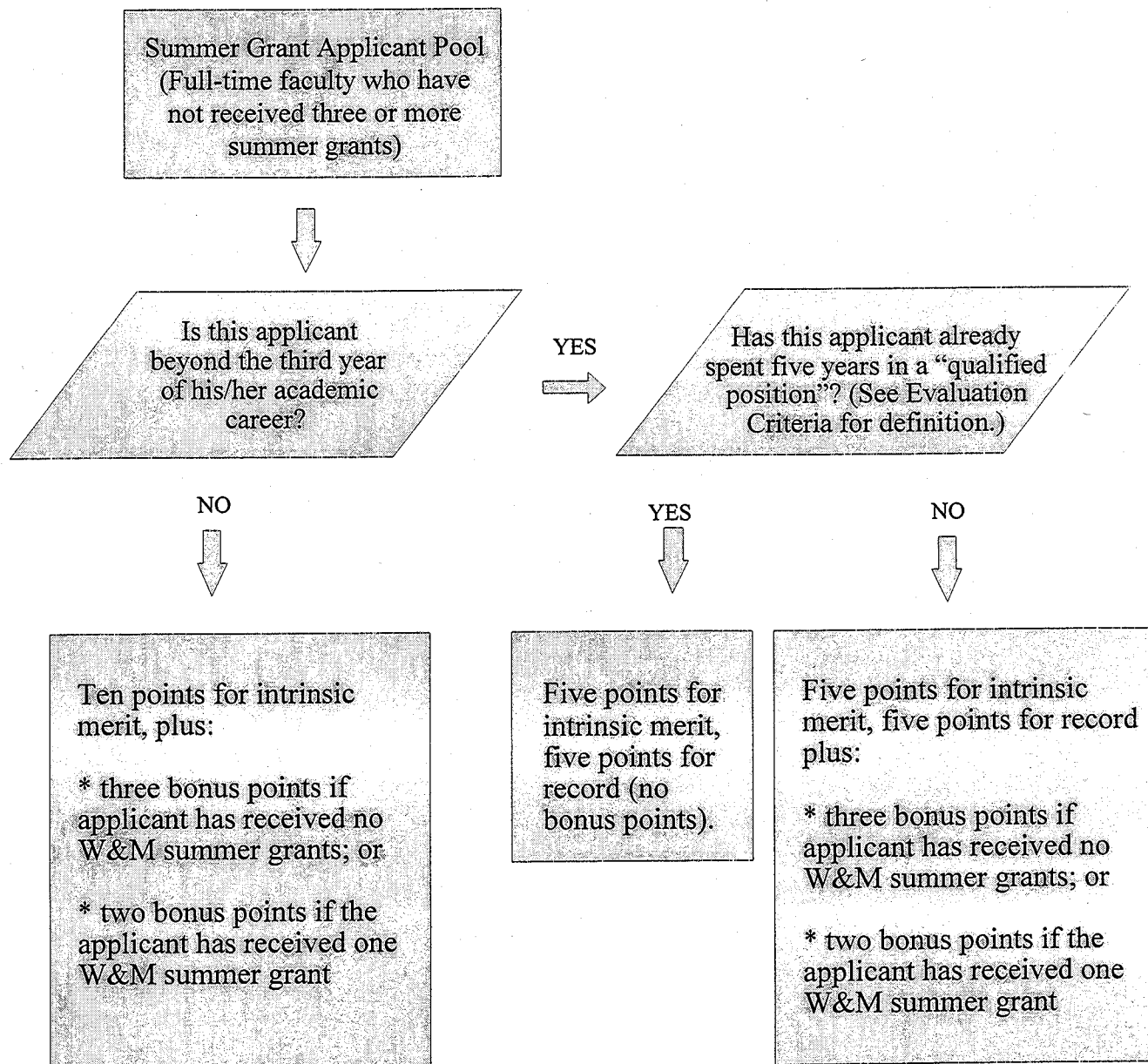
Notification and Payment

Applicants will be notified by the Provost if their proposals are selected for funding. The Chair of the Faculty Research Committee (through the Office of Grants and Research Administration or the Provost's Office) will notify those applicants whose proposals are not funded.

Applicants selected for funding will receive a one-time payment on June 15th for the full amount awarded less applicable taxes.

*** End of Policy and Principles ***

The Decision Process for Assigning Points



Yes	No	Questions	Committees to Contact if answer YES to questions	Check below to certify that this proposal has been submitted to the appropriate committee(s)
		Does this proposal involve research with human subjects?	Protection of Human Subjects in Research Committee (Chair, Stan Hoegerman, sfhoag@wm.edu)	
		Does this proposal involve research with animals?	Research on Animal Subject Research (Chair, Paul Heideman, pdheid@wm.edu)	
		Does this proposal involve research with recombinant DNA?	Institutional Biosafety Committee (Margaret Saha, mssaha@wm.edu)	
		Does this proposal involve research with radioactive material?	Institutional Radiation Safety Committee (Eric Bradley, elbrad@wm.edu)	

6. 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. _____

7. 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.

8. 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 _____

Summer when grant was (or would have been) received	Summer Grant Proposal Submitted?		Summer Grant Awarded and Accepted?	
	Yes	No	Yes	No
Summer 2003				
Summer 2002				
Summer 2001				
Summer 2000				
Summer 1999				
Summer 1998				
Summer 1997				

Please provide the following information, typed and under the indicated or abbreviated headings, on pages attached to the cover sheet.

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

10. List **all** intramural sources of support for your research (other than summer grants listed under #8 above) in the last ten years. This support includes, but is not limited to, semester grants (FRAs), minor grants, university fellowships, May seminars, and other leaves or fellowships sponsored by department chairs or deans.

11. Please indicate here publications or other tangible results of each award listed under #8 and #10 above.

12. List any fellowships, grants, research contracts, etc., awarded by outside agencies in the last ten years. Specify date, source, and amount.

13. List any applications to outside agencies pending or in preparation and indicate if they are intended to support the present project.

14. List any recent applications for fellowships, grants, research contracts, etc., to outside agencies that were not funded. Give dates and amounts.

15. List any leaves of absence in the last ten years (with dates) not funded by the College. Also, please explain any interruptions in your research career which might not be evident from your curriculum vitae.

16. Please begin at the top of a separate page and describe within a **maximum of 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**. 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.

17. 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/administration/provost/>>. Hard copies can be obtained in the Office of the Provost.)

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

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

***** End of Form *****

POLICY AND PRINCIPLES FOR MINOR RESEARCH GRANTS

(Revised, *April 2004*. Portions of text in *bold and italics* are additions/changes from last year's policies.)

DEADLINES: TBA

Faculty Research Committee - The College of William & Mary

Questions about this application should be directed to the Chair of the Faculty Research Committee, Dale Hoak, Department of History
(email: dehoak@wm.edu, phone: 1-3750)

Faculty Research Committee Policies to Govern Internal Deliberations and Disagreements:

1. The internal deliberations of the Faculty Research Committee and its area subcommittees are confidential. This confidentiality applies to all discussions regarding the specific merits of individual proposals. However, the general criteria used in making grant decisions may be discussed publicly.
2. Should any member of the Committee have a grievance against other members of the Committee or an area subcommittee, or feel that certain proposals have been treated unfairly, that individual may appeal in writing to the Chair. The Chair has the responsibility to investigate the matter and discuss the grievance with the entire Committee. If this process fails to produce an outcome satisfactory to the Committee member in question, a written appeal may be made to the Provost.

The purpose of this Minor Research Grants Program is to assist the investigator with expenses directly related to *the conduct of research*. *The program is not intended to fund the presentation, publication, or dissemination of finished research. Further*, it is not intended to fund research costs that should be included in the normal budgets of department or schools. *Nor is it intended to fund research costs that should be included in the normal budget of any external support received by the student's advisors for research in the same basic area.*

Minor Research Grant applications will be accepted twice a year. Only currently-enrolled undergraduate and graduate students are eligible. *Preference will be given to applications from undergraduates, though applications from graduate students will be considered if sufficient funding remains. Among undergraduates, preference will be given to students enrolled in (or accepted into) Honors. Applications from students (either undergraduate or graduate) will be eliminated from consideration if sufficient funding from the department, the school, or the advisor's research grants can be obtained.*

Undergraduate concentrators or graduate students of the same department or school often ask for almost identical expenses. The Committee views such predictable, recurring expenses as items that should be included in departmental or school

budgets. The Committee also often receives requests from students (both undergraduate and graduate) whose advisors have substantial external grant support for research in the same area. The Committee views such expenses as items that either should have been included in the advisor's grant budget or should be requested as a supplement to the appropriate external research grant. In either such situation, a request for support from the Minor Research Grants Program will be denied.

The normal funding limit is \$300. *In unusual circumstances*, the Committee may recommend funding up to \$500 if such a request is fully and carefully justified. *However, given the limited amount of funding available and the large number of worthy applications, in almost all cases no more than \$300 will be approved. Students are encouraged to work with their advisor to actively solicit funding from other sources if it is likely that their research expenditure will exceed \$300.*

An applicant may receive only one Minor Research Grant per academic year. All project descriptions must be written by the applicant.

The kinds of expenses generally funded by the Committee include travel *in support of research (but not travel to make presentations at professional meetings)*, long distance telephone calls, photocopies, postage, payments to human subjects, and payments for animal subjects. This list is not an all-inclusive one; other items may be funded if sufficiently justified.

In keeping with the spirit of the Minor Research Grants Program, which is to support the conduct of research, but not the presentation, publication, or dissemination of finished research, the Committee will not fund the following items: 1) meals; 2) typing and duplication of theses or course papers; 3) equipment or materials ordinarily supplied by departments or Technology Services; 4) books and other materials ordinarily supplied by department or library budgets; 5) transportation to the vicinity of the applicant's permanent residence; 6) *any expenses associated with travel to or attendance at professional meetings*; 7) lessons or professional development fees; 8) publication costs; 9) expenses incurred by students not currently enrolled.

In general, applications should be submitted prior to actual expenditures; depending on the date of application, consideration of a proposal may be postponed to the next funding cycle. Expenses incurred before application to the Committee will be considered if strong justification is provided.

Private automobile transportation will be reimbursed at a maximum of 10 cents per mile.

The Committee believes that research by undergraduate students should be encouraged and that it is best performed under strict supervision. We also believe that a research project worthy of funding is deserving of academic credit. The Committee therefore requires that an undergraduate student applying for a Minor Research Grant be enrolled in an appropriate course at the time of application (except that application may be made in the fall term for a course to be taken in the spring, with reimbursement contingent on enrollment in the course.) Students may also apply for a Minor Research Grant in the

spring semester in order to conduct Honors research that summer or fall, but a student may not receive funds until the department/program chair certifies that he/she has been accepted into Honors.

Note: The Office of Grants and Research Administration have copies of past successful grant applications on file, should you wish to review them.

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

Applications received after the deadline will not be accepted and no material received after the deadline will be considered. ***Further, applications with project descriptions that exceed the 1,000 word maximum are likely to be automatically eliminated from consideration.***

Notification: When the decisions have been made by the Faculty Research Committee (usually within one month), the notification page of the application will be returned by the Office of Grants and Research Administration informing applicants of the results of their proposals. If your proposal was funded, your department chair or school dean and his/her administrative secretary will also be notified, as will the Budget Office which will transfer funds to the appropriate department/school account.

Method of Reimbursement: Reimbursements will be handled through the administrative secretary at the recipient's department or school. Travel arrangements (except for personal vehicle mileage) must be coordinated through the department or school; tickets should not be purchased independently by the grant recipient.

To be reimbursed for expenses, the grantee must present appropriate proof (invoices, receipts, etc.) of all expenses which are consistent with the terms of the grant no later than June 1 following the award. Proof of expenses received after June 1 may not be reimbursed and could result in loss of the award.

In cases where expenses will be incurred after June 1, the applicant should request reimbursement in the following fiscal year in the grant application. This desire should be checked off on the application form and stated clearly on the budget portion of the application.

*** End of Policy and Principles ***

APPLICATION FOR MINOR RESEARCH GRANTS
(FORM VALID ONLY FOR ACADEMIC YEAR 2004-2005, NO FORMS FROM
PREVIOUS YEARS WILL BE ACCEPTED)

DEADLINES: TBA

Faculty Research Committee - College of William & Mary

Instructions: Submit four (4) complete copies of this application (**which includes this application page, the project description and project budget**) to the Office of Grants and Research Administration (314 Jamestown Road). The applicant should read the Committee's "Policy and Principles for Minor Research Grants" before completing this 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.

____ Check here if you plan to incur expenses **AFTER June 1, 2004**. If you incur expenses after June 1, 2004 and do not check here, you may not be reimbursed.

____ 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 to help them draft their own.

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

1. Name _____

Signature _____

Graduate students:

2. Degree program _____

3.

Department _____

Undergraduate students:

2. *Department and course for which the research is being undertaken* _____

3. *Concentration* _____

4. Contact Information

Campus/Williamsburg (or local) Mailing Address

Email Address _____ Phone
Number _____

Home Address

5. Total Amount
Requested _____

6. Project Title:

7. List all Minor Research Grants received in the past three years:

8. Institutional Compliance Committees: Answer each question below by checking the boxes. If you answer YES to any question, you must go to the GOEFRSS website < _____ > and submit the necessary forms to the appropriate committee(s) BEFORE final submission of this proposal to the Office of Grants and Research Administration. You must also certify by checking the boxes below that you have in fact submitted the necessary forms to the appropriate committee(s). ***If you have not submitted the necessary forms for approval before submitting your Minor Research Grants proposal, your proposal will be eliminated from consideration.*** Final approval of your proposal by the Faculty Research Committee will await approval by the appropriate committee(s). Contact the committee chairs if you have any questions about obtaining required approvals.

Yes	No	Questions	Committees to contact if answer YES to questions	Check below to
certify that this proposal has been submitted to the appropriate committee(s)				
<input type="checkbox"/>	<input type="checkbox"/>	Does this proposal involve research with human subjects?	Protection of Human Subjects in	
Research Committee (Chair, Stan Hoegerman, _____)				
<input type="checkbox"/>	<input type="checkbox"/>	Does this proposal involve research with animals?	Research on Animal Subject	
Research (Chair, Paul Heideman, _____)				
<input type="checkbox"/>	<input type="checkbox"/>	Does this proposal involve research with recombinant DNA?	Institutional Biosafety Committee	
(Margaret Saha, _____)				
<input type="checkbox"/>	<input type="checkbox"/>	Does this proposal involve research with radioactive material?	Institutional Radiation Safety	
Committee (Eric Bradley, _____)				

Procedure: Attach a description (**1,000-word maximum**) of the project. Attach on a separate page a full budget statement with all costs clearly detailed. Reimbursement can be made only for those expenses approved by the Committee.

Approval of Faculty Research Advisor (required for all applicants)

The Minor Research Grants Program is not intended to fund research costs that could be included in the budget of an externally supported research grant, either as part of the original budget for the external grant or as a supplement to the external grant.

Please indicate if outside funding was sought for this project. *When external support for similar research exists, or a request to supplement such research is possible, then it is viewed as inappropriate to solicit funding from the Minor Research Grants Program.*

"I have reviewed this proposal and judge the request to be reasonable. The applicant is qualified to conduct this research project. *Further, I do not have (and will not likely obtain) external funding for this student's research project.*"

NAME (please print)

SIGNED _____

DATE _____

Approval of Department Chairperson or Dean (required for all applicants):

The Minor Research Grants Program is not intended to fund research cost that should be included in the normal budgets of departments and schools. The policy of the Committee discourages recurring applications from members of the same department or school asking for similar expenses. *Further, this program is not intended to fund research cost that could be included in the budget of an externally supported research grant, either as part of the original budget for the external grant or as a supplement to the external grant. The policy of the Committee discourages applications from a student whose research costs could be covered from an external grant.*

"I have reviewed this proposal and judge it to be in accordance with the policy stated above and to be worthy of funding."

NAME (please print)

SIGNED _____

DATE _____

***** End of Form *****

POLICY AND PRINCIPLES FOR BOOK SUBVENTIONS
(Revised April 2004. Changes from the previous policies are in *bold and italics*.)

DEADLINE: Applications may be submitted at any time.

Faculty Research Committee
College of William & Mary

The following policy statement should be regarded as confidential and made available to William & Mary faculty only. In particular, this statement should not be circulated to publishers or to other agents outside the university.

In recent years, publishers have occasionally requested or required a cash payment (subvention or subsidy) from authors before agreeing to publish a book. In cases where a recognized academic publisher agrees to publish a completed scholarly manuscript addressed to a specialized audience, but requests a subvention, the Committee on Faculty Research will evaluate the request and may recommend that the book subvention be advanced by the university. The level of funding for a particular subvention as well as its timing will depend upon the funds available in a particular year. Requests for a subvention of more than \$2,000 will be considered extraordinary. ***Book subventions will not be awarded for expenses incurred in making an index.***

Procedure

1. Applications may be made at any time and should be submitted to the Faculty Research Committee through the Grants Office. A subcommittee (which may include knowledgeable experts on publishing outside the Committee) will evaluate the request and make recommendations to the Provost, who will make the final decision on all requests for book subventions.
2. The applicant should include **three (3) copies** of the following items when making a request: a) the completed manuscript; b) readers' reports when available; c) the publisher's proposed contract, including the amount of subvention requested and terms of royalties; d) a detailed cost estimate from the publisher, including probable press run, unit costs, and projected price per copy; and, e) a current catalog brochure from the publisher. If, however, the manuscript is over 200 pages long, the applicant should submit only one copy of the completed manuscript and three copies of the first 50 pages of the manuscript and three copies of an abstract, along with three copies of (b), (c), (d), and (e) above. No materials submitted will be returned to the applicant.
3. If possible, the contract should be written so that all royalties are paid directly to the university until the subvention is recouped. If this is not possible, an author whose book is partially funded by the university through this program will agree to return to the university, as they are paid, all royalties earned on the book up to the amount advanced. The university regards the agreement to repay the subvention through royalties as binding both during and after the author's tenure at the university.

