

ORGANIZED RESEARCH POLICY STATEMENT

(Revised 9 August 2011)

Southeastern Oklahoma State University

Mission

The purpose of the Organized Research Fund at SE is to provide support for basic research and other creative scholarly activities. The expected outcome will be new contributions to the fields of inquiry and scholarship supported by the institution.

Goals

The five goals of Organized Research at SE are to:

1. promote faculty interest in research and other scholarly activities,
2. provide support for student and/or faculty projects in research and creative scholarly activities,
3. develop a larger roster of faculty who are capable of directing research and developing creative scholarly works,
4. provide more opportunities for undergraduate and graduate students to participate in research and creative scholarly activities, and
5. enhance the reputation of SE in the areas of research and scholarship.

Administrative Procedures for Research-Based Mini Grant and Grant Proposals: Unsolicited Proposals and Solicited Proposals

It is the intent to distribute a portion of the Organized Research Budget by the mechanism of Unsolicited Mini-Grants and Unsolicited Regular Grants. Two to three times each year an announcement will be sent to the faculty to invite proposals for consideration for funding. *Anticipated application deadlines are the third Friday in September, the fourth Friday in January, and if there is money available, the third Friday in April.* Proposals submitted in response to this general announcement will be designated as Unsolicited Proposals, and the area of research or scholarly activity proposed in the application is selected at the discretion of the applicant. The proposals will be reviewed for merit and then be given a priority ranking by the Organized Research and Program Review Committee. Approved proposals will be funded from the Organized Research Budget. Ad hoc proposals have been considered on an occasional basis at times other than the regular deadlines when there have been extenuating circumstances.

Solicited applications would be submitted in response to a specific request for proposal (RFP) from the Office of the Vice President for Academic Affairs. The RFP will describe the specific research problem of interest and serve as an announcement for Solicited Proposals. It is anticipated that the RFP will be issued at irregular intervals. The review process would be the same as used for unsolicited proposals.

Application Evaluation Procedures for Research Based Mini-Grant and Grant Proposals

Initial Review for Merit: Upon receipt, the Assistant Vice President for Academic Affairs and Instruction and/or his/her designee will assign one or more ad hoc reviewers to evaluate the application. Reviewers will be selected on the basis of their expertise relative to the discipline and type of research/scholarly activity involved in the proposal. Their evaluation will be conducted with the attached Grant Application Evaluation Form. In some instances (usually regular grants) a mail-review may be used where the application is sent off-campus for review by one or more individuals. In other instances an ad hoc committee may be convened to review and rate several applications, using a process of primary and secondary reviewers. A score will be assigned to the application as a result of the initial review.

Final Review by the Organized Research and Program Review Committee: When the initial review has been completed, the Organized Research and Program Review Committee will collectively review all applications and rank them in a recommended priority order for funding. The committee will attach its recommendations to the initial review recommendation, and submit the proposals to the Assistant Vice President for Academic Affairs and Instruction and/or his/her designee for approval.

The total review process usually requires four-six weeks. Hence, notifications of grant awards can be expected by the end of October for Fall semester applications and mid-March for Spring semester applications and the first week of June for the April applications.

Support for student and/or faculty projects in research and creative scholarly activities: These RFPs represent those requests for travel to present a paper or other related activities such as representing the University as an Officer in a Learned Society, etc. Those requests will be reviewed by the Organized Research and Program Review Committee with its recommendations for funding made to the Assistant Vice President for Academic Affairs and Instruction and/or his/her designee for approval.

GUIDELINES FOR RESEARCH PROPOSALS

These guidelines are to be used for both unsolicited and solicited Mini-Grant(s) research proposals. Adherence to the standard format shown below will expedite the review and evaluation of the proposal.

I. Mini-Grants

A. Categories and Priorities

Mini-Grants are defined as research and other creative scholarship activities with a total budget of \$1,500 or less. Mini-grants normally will be used to support research/scholarly activities in the eleven following categories:

1. a preliminary exploratory project to develop a research/scholarly idea to the point that it can be submitted to an external funding agency;

2. a research/scholarly activity proposed in an area where funding from other sources is not readily available;
3. a short-term faculty research/scholarly training experience (workshop, short course, visit to a research facility, etc.) to acquire specific research/scholarly skills for initiating a research/scholarly project at SE;
4. support for a small research/scholarly project that significantly involves undergraduate students in research experiences (both research merit and student involvement would be criteria for evaluating the proposal);
5. sabbatical support for a specifically proposed research activity at another institution or facility (faculty pursuing advanced degrees would not be eligible for salary support under this category since funds are available from other budgets for salary support; research expenses only may be considered under this category);
6. expenses for research/scholarly publication costs in cases where the manuscript has gone through a peer review process and/or editorial review process that validates its quality; manuscript preparation expenses are supported in this category, as well as journal manuscript page charges and a reasonable number of journal reprints; it is not the intent of this category to provide for the mass printing and distribution of books and monographs;
7. expenses to defray research/scholarly publication costs of manuscripts printed on campus in cases where the publication will have limited circulation; in this case SE would be granted the copyright, and all revenues would go to SE until the costs of the grant are recovered; subsequent profits would go into a revolving fund;
8. travel expenses to make a scholarly presentation at a professional conference will be partially supported through the mini-grant mechanism. Such presentations must be an integral part of the project under categories 1-5, listed above. Travel Mini Grants require a 30% from other sources of funding (e.g., department, school, personal, external);
9. travel expenses for individuals who are officers in their organization or Learned Society Travel Mini Grants require a 30% from other sources of funding (e.g., department, school, personal, external);
10. presider or panel member at a conference (Travel Mini Grants require a 30% from other sources of funding (e.g., department, school, personal, external));
11. attendance and/or presentation at a conference for professional development in discipline/teaching/accreditation and/or to maintain licensure and/or certification. Travel Mini Grants require a 30% from other sources of funding (e.g., department, school, personal, external).

B. Format for Mini-Grant Proposals

The attached Mini-Grant Application Evaluation Form should be reviewed as the proposal is being prepared. Adherence to the format outlined below will help ensure an expeditious and objective evaluation of your application.

1. Research and/or Scholarly Activity other than Travel

- a. Organized Research Proposal Routing Sheet (First Page)
- b. When appropriate, provide a brief literature review of pertinent work in the proposal area and provide citations. In addition, describe any previous or preliminary work you have done in the proposal area to give the evaluator some idea of your previous experience and qualifications. Limit to one page and attach a current resume as an appendix.
- c. Provide a specific description and details of the proposed research/scholarly activity. (Limit to a maximum of two pages.)
- d. Budget Page and Rationale (Use Attached **Budget Form-A**). The budget period should stop on or before June 30, (end of Fiscal Year); however, if you anticipate that a longer period is needed to complete the project add a second budget page that goes from July 1, (start of Fiscal Year), until the end of the project. An effort will be made to provide funds for extension beyond the current Fiscal Year, but such funds cannot be guaranteed.
- f. Submit one copy of the request to Academic Affairs (PMB 4137).

2. Travel Mini Grants

- a. Organized Research Proposal Routing Sheet (First Page)
- b. Documentation for reason for travel (e.g., conference program with presentation listed, letter indicating presentation/workshop has been accepted for conference, scheduled meeting of board, officers, committees at conference).
- c. Budget Page and Rationale (Use Attached **Budget Form-B**). The budget period should stop on or before June 30, (end of Fiscal Year); however, if you anticipate that a longer period is needed to complete the project add a second budget page that goes from July 1, (start of Fiscal Year), until the end of the project. An effort will be made to provide funds for extension beyond the current Fiscal Year, but such funds cannot be guaranteed.
- d. Submit one copy of the request to Academic Affairs (PMB 4137).

II. Regular Grants

A. Categories and Priorities

Regular Grants are defined as substantial research and creative scholarly activities with a total requested budget greater than \$1,500. A typical upper limit for the annual budget would be \$10,000. Regular Grants are projects that have significant potential to lead to funding from external agencies (foundations, state or federal agencies, or business/industry). Regular grants should have significant potential to generate revenues that would reimburse SE beyond the expenses incurred in the original project. Categories for Regular Grants are: (1) Substantial research of a basic and/or applied nature in any discipline, and (2) Creative scholarly activities of a substantial nature in any discipline.

B. Format for Regular Grant Proposals

The attached Grant Application Evaluation Form should be reviewed prior to preparing the proposal. It should be noted that Regular Grant applications will be evaluated more rigorously than Mini-Grant applications. Moreover, the potential of the project to lead to external funding or to generate revenues is an important evaluation criterion. The attached document, "Hints for Preparing a Successful Research Proposal" is a commentary on the components of a Regular Grant application.

1. Organized Research Proposal Routing Sheet (First Page).
2. Summary or Abstract Page (Second Page): Give Proposal Title, Name and Rank of Faculty Investigator(s), and summarize the project in 100-200 words.
3. Research projects must have a literature review and citations of pertinent work related to the project. Creative scholarly projects must have a background/historical section that describes the context or setting for the project. In addition, in each type of project describe any preliminary work you have done that is related to the proposal. (Limit this section to a maximum of two pages).
4. Clearly enumerate the specific objectives of this project.
5. Describe the methods, procedures, and/or techniques that will be utilized in this project. Topics such as experimental design data treatment (interpretation) should also be discussed in this section. Creative scholarly project proposals should provide adequate details to enable a reviewer to assess the merit of the project.
6. Describe the facilities and equipment that are available to support the project. Has the department chairperson (or other responsible person) authorized the use of the facilities for the conduct of the project?

7. Give details of possible external agencies that will provide funding for continuing the research/scholarly activities proposed in the application. Alternately, describe the potential for generating revenues from the products/outcomes of this project.
8. List the literature references cited in this proposal. Use the format appropriate for the particular discipline.
9. Include experience relevant to this application and attach a professional resume as an appendix.
10. Budget Page and Rationale (Use Attached **Budget Form-C**). The Budget Period should not extend beyond June 30, (end of Fiscal Year); however, if you anticipate that a longer period is needed to complete the project, add a second budget page that goes from July 1, (start of Fiscal Year) until the end of the project. An effort will be made to provide funds for extensions beyond the current Fiscal Year, but such funds cannot be guaranteed.
11. Faculty Time Statement. List your teaching schedule and other responsibilities for the proposed budget period, and indicate how you plan to conduct the research described in the project. If released-time from teaching is involved, the department chairperson will need to attach a statement indicating how the classes from which you are to be released will be handled should the application be funded.
12. Submit one copy of the request to Academic Affairs (PMB 4137).

III. Award Notices

When the grant is awarded, an approved budget and budgetary procedures will be provided by the Assistant Vice President for Academic Affairs and Instruction and/or his/her designee. In addition, the faculty member will be asked to sign a statement that a final report on the project will be submitted within 30 days after completion of the project. In some instances the reporting period allowed may be greater than 30 days.

ORGANIZED RESEARCH AND PROGRAM REVIEW COMMITTEE (ORPRC)

COMMITTEE FUNCTION:

The responsibility of this committee will be:

1. To set and amend policy with regard to disbursement of Organized Research funding. Review applications twice a year or more depending on special circumstances to make recommendations for funding to the Office for Academic Affairs. Continually review and analyze the effectiveness of the Organized Research Grant program.

2. To review, evaluate, and make recommendations about academic programs as they are formally reviewed in the program review process. Specific functions of this committee will be to: (1) conduct a preliminary editorial review of each program self-study report, (2) review the resumes of prospective consultants and participate in any decision to initiate an evaluation of a program by peer-reviewers from other institutions, (3) review the external evaluation report, (4) evaluate the program self-study report, peruse both sets of recommendations deemed appropriate by the Committee, (5) conduct conferences with the department, if needed, to clarify any discrepancies in the program review recommendations, (6) resolve any differences (when possible) between the departmental and consultant recommendations, or issue a third party report, and (7) prepare a final report of the Committee recommendations for each program and submit it to the Office for Academic Affairs.

PROCEDURES:

The committee procedures include the following:

1. Funding priorities for Organized Research Mini-Grants will be:

- A. Faculty research/scholarly activities and travel to professional meetings or conferences in which the faculty member is presenting or presiding in an official capacity (does not include faculty summer pay to conduct research).
- B. Professional development will have a lower priority than research/scholarship (e.g., attending conferences or workshops).
- C. Funding for Research-Based Grants will be based primarily upon anonymous recommendations by faculty reviewers and the ORPRC will be cognizant of University budgetary constraints. The Organized Research and Program Review Committee will make grant award recommendations to the Assistant Vice President for Academic Affairs and Instruction and/or his/her designee.
- D. Typically, funding for Organized Research will be as follows:
 - **Research and/or Scholarly Activity other than Travel—funded at 100% of request up to \$1,500 maximum.**
 - **Travel Mini Grants—funded at 70% of the lesser of the following two amounts: maximum award for mini grant (\$1,500) or total amount of funding request.**
 - Please note that the faculty member is responsible for securing funding for any amount of the request above the \$1,500 maximum for all mini grants as well as finding additional funding to cover the required 30% match for travel mini grants (e.g., departmental, school, personal, external). Faculty PIs do not need to specify the source of the match but may if they so wish. The required match may be altered based on availability of funds.
 - Funding for Organized Research Grants will be restricted to one application

per faculty member per academic year.

2. Funding priorities for Organized Research Regular Grants will be:
 - A. A minimum of ten percent of the Organized Research budget will be designated for Regular Grants.
 - B. Regular Grants will be awarded campus-wide and are defined as substantial research and creative scholarly activities with a total requested budget greater than \$1500. Regular grants are projects that have significant potential to lead to funding from external agencies (foundations, state or federal agencies, or business industry). Alternately, regular grants should have significant potential to generate revenue that would reimburse SE beyond expenses incurred in the original project.
 - C. The review process for Regular Grant requests will be the same as the Mini-Grant process. Regular Grants have a required match of 15% from other sources; the amount of match may be adjusted depending upon availability of funds.
3. The Organized Research and Program Review Committee will have the option of using one or more SE faculty as ad hoc reviewers, whose role will be to assist the committee in reviewing reports and evaluating specific programs. The ad hoc reviewer(s) would be allowed to vote with the panel on recommendations and matters affecting the specific program. A regular committee member will abstain from participation when there is a conflict of interest, such as when a program from the member's department is under review.

MEMBERSHIP:

Membership of the ORPRC will consist of seven members consisting of five faculty (two from Arts & Sciences, one from Education and Behavioral Sciences, one from Business, and one from the Graduate Council), one student, and an ex officio member from the Office for Academic Affairs. The Faculty Senate Committee on Committees will appoint the faculty members for a three-year term of appointment. The faculty members will have staggered terms to be determined by the Committee on Committees.

MINI-GRANT APPLICATION EVALUATION FORM
Research and/or Scholarly Activity other than Travel

Applicant: _____

Brief Title: _____

Section I – Questions for Evaluating Research/Scholarly (R/S) Proposal

1. Are the specific objectives clearly stated? _____
2. Is there evidence of a literature review or background statement? _____
3. Has the applicant done previous work in this area? _____
4. Is the R/S methodology adequately described? _____
5. Are there any specific budget concerns? _____
6. Overall, is the budget reasonable for the scope of the project? _____
7. Are there other general concerns? _____

Section II – Research/Scholarship Categories Applicable Mini-Grant Proposal
Mark all that apply

1. Preliminary exploratory project to develop a R/S idea. _____
2. R/S activity in an area where funds are NOT readily available? _____
3. Short term faculty R/S skills training experience? _____
4. Support for Undergraduate Students? _____
5. Research Sabbatical Support for Faculty? _____
6. Expenses for Peer-Reviewed R/S Publication. _____
7. Expenses for a limited-circulation R/S Publication. _____

Section III – Compatibility with Organized Research Goals at SE

1. Will the project promote faculty interest in R/S? _____
2. Will the project provide support and opportunities for student participation? _____
3. Will the project lead to faculty development? _____
4. Does the project have potential to enhance the reputation of SE? _____

Section IV – Reviewer's Overall Recommendation

MINI-GRANT APPLICATION EVALUATION FORM
Travel Mini Grants

Applicant: _____

Brief Title: _____

Section I – Questions for Evaluating Travel Mini Grants

1. Are the specific objectives clearly stated? _____
2. If this is a workshop or conference, are the travel restriction met? _____
(Must meet one of the following criteria: must present an original paper; must be an elected officer of an organization or learned society; must have accreditation purpose; or must be a presider or participant in a panel or group discussion)
3. Are there any specific budget concerns? _____
4. Overall, is the budget reasonable for the scope of the project? _____
5. Are there other general concerns? _____
6. What is the date of the workshop or conference? _____

Section II if Applicable - Research/Scholarship Categories Applicable to Mini-Grant Proposals

Mark all that apply

1. Preliminary exploratory project to develop an R/S idea. _____
2. R/S activity in an area where funds are NOT readily available? _____
3. Short term faculty R/S skills training experience? _____
4. Support for Undergraduate Students? _____
5. Research Sabbatical Support for Faculty? _____
6. Expenses for Peer-Reviewed R/S Publication. _____
7. Expenses for a limited-circulation R/S Publication. _____

Section III – Compatibility with Organized Research Goals at SE (Mini- and Regular Grants)

1. Will the project promote faculty interest in R/S? _____
2. Will the project provide support and opportunities for student participation? _____
3. Will the project lead to faculty development? _____
4. Does the project have potential to enhance the reputation of SE? _____

IV. Overall Recommendation (if external reviewer is used)

REGULAR GRANT APPLICATION EVALUATION FORM

Applicant: _____

Brief Title: _____

Section I – Questions for Evaluating Research/Scholarly (R/S) Proposal

1. Are the specific objectives clearly stated? _____
2. Is there evidence of a literature review or background statement? _____
3. Has the applicant done previous work in this area? _____
4. Is the R/S methodology adequately described? _____
5. Are there any specific budget concerns? _____
6. Overall, is the budget reasonable for the scope of the project? _____
7. Are there other general concerns? _____

Section II – Compatibility with Organized Research Goals at SE (Regular Grants)

1. Will the project promote faculty interest in R/S? _____
2. Will the project provide support and opportunities for student participation? _____
3. Will the project lead to faculty development? _____
4. Does the project have potential to enhance the reputation of SE? _____

Section III – Reviewer’s Overall Recommendation

**SOUTHEASTERN OKLAHOMA STATE UNIVERSITY
ORGANIZED RESEARCH PROPOSAL ROUTING SHEET
2011-2012**

Title of Application: _____

Name of Applicant: _____

Academic Rank of Applicant: _____

Type of Grant: ___ **Mini Grant—Research/Scholarly Activity**
 ___ **Mini Grant—Travel**
 ___ **Regular Grant**

Total Budget Requested: _____

Principal Investigator (if applicable): _____

Date Submitted: _____

If this is a travel submission, where and when: _____

If requesting a travel mini grant, please select which category best describes your request:

- a. _____ Travel to conference to present findings/scholarly paper over research-based data
- b. _____ Travel to conference to serve as an officer in organization or Learned Society; panel member, preside over a conference session, etc.
- c. _____ Travel to conference to maintain licensure/certification or for professional development
- d. _____ Travel specifically related to accreditation

Specific Objectives of the Project (list one or more objectives)

1. _____

2. _____

3. _____

4. _____

The chair of the department acknowledges that he/she has knowledge that the proposal is being submitted and agrees to approve use of departmental facilities for the conduct of the project.

Department Chair: _____ **Date:** _____

The dean of the appropriate school acknowledges that he/she has knowledge that the proposal is being submitted.

Dean: _____ **Date:** _____

Organized Research Funds Budget Form-A
Research and/or Scholarly Activity other than Travel—2011-2012

Applicant _____

Budget Period _____

<u>1.</u> Conference Registration	
<u>2.</u> Lodging	
<u>3.</u> Airfare/Public Transportation	
<u>4.</u> Cab Fare/Local Transportation	
<u>5.</u> Per Diem	
<u>6.</u> Parking	
<u>7.</u> Tolls	
<u>8.</u> Rental Car	
<u>9.</u> Other Miscellanies Costs, please itemize:	
<u>10.</u> Sub-Total	
Funding Calculation	
<u>11.</u> If Sub-total (Line 10) exceeds maximum amount allowed for mini grant (\$1,500), perform the following calculation and write the value on Line 11. <div style="text-align: center;"> $\frac{\text{Sub-total (Line 10)}}{\text{Sub-total (Line 10)}} - \\$1,500 = \frac{\text{Match Required}}{\text{Match Required}}$ </div>	
<u>12.</u> Enter lesser of two amounts: sub-total (Line 10) or \$1,500	
<u>13.</u> Total match required from other sources (e.g., department, school, personal, external); enter Line 11	
<u>14.</u> Total Budget Request Allowed: Enter Line 12	

Organized Research Funds Budget Form-B
Travel Mini Grants-2011-2012

Applicant _____ Budget Period _____

1. Conference Registration	
2. Lodging	
3. Airfare/Public Transportation	
4. Cab Fare/Local Transportation	
5. Per Diem	
6. Parking	
7. Tolls	
8. Rental Car	
9. Other Miscellanies Costs, please itemize:	
10. Sub-Total	
Funding Calculation	
11. If Sub-total (Line 10) exceeds maximum amount allowed for travel grant (\$1,500), enter amount greater than \$1,500; if not, enter 0	
12. Enter lesser of two amounts: sub-total (Line 10) or \$1,500	
13. Multiply amount on line 12 by 0.30 (30%)	
14. Enter value for Line 12 – Line 13	
15. Total match required from other sources (e.g., department, school, personal, external; enter Line 11 + Line 13	
16. Total Budget Request Allowed: Line 10 – Line 15.	

Organized Research Funds Budget Form-C
Research Grants (>\$1,500 and <\$10,000)—2011-2012

Applicant _____ Budget Period _____
 Department Account A-6-0502-(see codes below)

	<u>Totals</u>
Professional Salaries (0612-702) or Adjunct Salaries (0612-201) AY Release Time Requested _____ %; Replacement Salary: _____ Summary Salary Requested _____ Interim and Overload Salaries Not Allowable	
Fringe Benefits (Calculate @ 23.6% of above amount) (0612-704)	
Supplies and Materials (0612-005) Attach Separate Itemization in Narrative	
Equipment (Less than \$250 per item; 0512-106; more than \$250 per item, 0612-006; Attach Separate itemization in narrative)	
Travel (0612-008) (Attach separate itemization in Narrative) Note: Out-of-state travel requires prior approval and encumbrance	
Communication (0612-009)	
Off-Campus Printing or Binding (0612-010)	
Contractual Service (0612-012) or Professional Services (0612-403)	
Other Current Expenses (0612-013)	
Repair Services (0612-112)	
Maintenance, Lease, Rental (0612-212)	
Total for Whole Project	
Matching costs, must be at least 15% of the total	
Total Budget Requested	\$