

**Academic Senate Santa Barbara Division
Council on Research and Instructional Resources**

FACULTY RESEARCH GRANTS POLICY 2023-24

Allocations of funds are governed by the Council on Research and Instructional Resources (CRIR) and University Regulations.

[Recent Sample Proposals](#)
[Advice from Former Chair](#)

Eligibility

- A. Persons on Active Duty
 - a. Any member of the Academic Senate Santa Barbara Division, including emeriti who are active in the UCSB research community, may apply.
 - b. Emeriti who have been given appointments at other institutions are not eligible.
 - c. Proposals submitted by an Acting Assistant Professor must be accompanied by a letter from the department chair indicating the expected timing of transfer to ladder status.
 - d. Other career academic employees (normally full-time appointees), who are not members of the Senate may seek support through joint application with a Senate member.

- B. Persons on Leave
 - a. Individuals on sabbatical or other UC-paid leave, either in residence or with headquarters elsewhere, may apply.

- C. New Senate Members
 - a. The applicant must be a Senate member at the time of proposal submission.

- D. Each eligible member may submit at most one proposal.

Application Guidelines

- A. Application Process
 - a. Applications are available on the Faculty Research Grants webpage: <https://senate.ucsb.edu/grants/faculty-research/>
 - b. Login with your UCSB NetID for instructions and to submit your application.

- B. Timeline
 - a. The call for proposals will be released at the end of fall quarter and the deadline to submit will be at the end of winter quarter. Specific dates will be posted on the Faculty Research Grants web page: <https://senate.ucsb.edu/grants/faculty-research/>
 - b. Proposals will be reviewed in the spring quarter and applicants will receive notices of grant decisions by June 15.
 - c. Funds will be transferred to the administering entity in July when the new fiscal

year begins.

C. Grant Terms

- a. The grant period is from July 1 to June 30, and funds may be expended at any time during the fiscal year subject to local accounting rules.
- b. Unused funds can be carried forward for one year, subject to the approval of the Council. Remaining unused funds should be returned to the Academic Senate.
- c. Overdrafts are the responsibility of the grantee or the department incurring such charges; faculty members will be billed for payment of any overdraft.
- d. The applicant's department is responsible for timely submission of all vouchers, recharges, purchase requisitions, etc. covered by the award.

D. Review Process

- a. Proposals are reviewed by the Committee on Faculty Grants, which includes Senate faculty members across campus and represents a wide variety of disciplines.
- b. In general, the proposal should be specific, well-defined, written with clarity, and should be understandable to a non-expert reader.
- c. Each proposal will be read by at least two Committee members, and presented to the Faculty Grants Committee for a funding decision. The Committee reserves the right to seek expert advice from any source it deems necessary.
- d. Funding is competitive on the basis of scholarly excellence with priorities for:
 - i. Junior faculty with a clear need for funding;
 - ii. Projects for which no extramural funding source can be identified;
 - iii. Requests for seed monies with high potential for impact or graduation to extramural funding;
 - iv. Requests that extend/augment work currently supported by extramural funds, in particular to prepare extramural renewal proposals.
- e. Proposals from individuals who have substantial extramural or intramural funding will normally not be considered unless the request is for seed money for a new research initiative, unless request is clearly explained for need.

Allowable and Unallowable Expenses

The following lists are general guidelines of allowable expenses. All budget items are subject to local accounting rules and must follow the University and UC regulations. Grantees and departmental financial officers are responsible for proper documentation and reimbursements.

A. Research and Clerical Assistance

- a. Considered:
 - i. Undergraduate and graduate student appointments to aid a faculty member in a research project must be on an hourly basis, and all appointments combined must be less than 24% time during the academic year;
 - ii. Recently graduated students may be hired in a Limited appointment, not to exceed 43%, with justification as to how their skills are essential to the project.
 - iii. Research or clerical assistance requests should specify the exact tasks

- to be performed with enough detail to gauge the hours needed;
- iv. Manuscript typing and word processing costs are departmental functions (Campus Policy 1030), but may be considered on a case-by-case basis with justification.

b. Not considered:

- i. Student tuition, fees, and insurance.
- ii. Postdoc appointments.
- iii. Faculty salary, including Summer Salary and Course Buyout

B. Equipment

The Council intends to limit the amount of funds used for equipment. Other features being equal, multi-user research instrumentation and requests for partial matching funds will be given higher priority among equipment requests. Purchases made with Faculty Research Grants become property of the University.

a. Considered:

- i. Project specific specialized equipment that cannot be obtained from departmental or facility funds, or is not readily available elsewhere on campus.

b. Not considered:

- i. Major equipment items should be requested in the regular departmental budget process.

C. Computing

a. Considered:

- i. Project specific computer time, programming services, computer software, and databases;
- ii. Computing devices that are primarily used for performing, e.g., field research in the project.

b. Not considered:

- i. Computers and hardware used for routine tasks including managing and tabulating data, writing/editing documents are generally considered administrative costs;
- ii. Personal computer used solely for the preparation of a manuscript is not an allowable expense.

D. Supplies

a. Considered:

- i. Expendable research supplies that are not normally provided by the department;
- ii. Justified, project specific, reasonable copying charges.

b. Not considered:

- i. General office supplies.

E. Field and Travel Expenses

The University of California Travel Regulations apply to the funds dispersed by the Faculty Research Grants program. Faculty and department financial officers are responsible for appropriate documentation and receipts.

a. Considered:

- i. Costs related to field research;
- ii. Costs related to field assistance;
- iii. Visits to museums, archives, and libraries;

- iv. Domestic travel – actual reasonable costs incurred for lodging, meals, and incidental expenses;
 - v. Foreign travel – actual reasonable costs incurred for lodging, meals, and incidental expenses not to exceed the Federal Maximum Travel Per Diem Allowances for Foreign Areas published by the Department of State.
- b. Not considered:
- i. Travel to conferences for the purpose of presenting research results or creative work should be requested through the [Faculty Travel Grants Program](#).
 - ii. Travel to states [as prohibited by AB 1887](#) that restricts the use of state-funded travel to any state that has passed a law after June 26, 2015 that (1) authorizes discrimination based on sexual orientation, gender identity, and gender expression, or (2) voids or repeals existing state or local protections against such discrimination. The policy is available at <https://www.ucop.edu/central-travel-management/resources/ab-1887-travel-prohibition-to-certain-states-using-state-funding-source%E2%80%8B.html>
- F. Publication Charges
- a. Considered:
- i. Payments related to publication preparations are considered including, but not limited to, copyediting, typesetting, proofing, printing, binding, image copyrights, and subvention;
 - 1. The project must be considered a research or creative publication, and not a textbook.
 - 2. For subvention requests, the proposer must include information about the publisher including its reputation in the discipline. Reviewers on the Committee on Faculty Grants will also be requested to comment on the reputation of the publisher(s) listed in the proposal. The Academic Senate must receive a copy of the publishing contract if requesting related expenses. Subventions for E-books and/or Open-access fees for monographs will be considered on a case-by-case basis, when those subventions are required by the press within the original publication contract.
- b. Not considered:
- i. Cost of preprints or reprints
 - ii. Cost of journal fees; for publishing in Open Access journals, applicants are encouraged to [seek funding from the library](#).
- G. Conferences
- Conference travel to present research findings should be requested through the [Faculty Travel Grant Program](#). Research funding to conduct conferences is given very low priority.
- a. Considered:
- i. Significant professional conferences held locally that directly enhance or promote UCSB research programs;
 - ii. For principal invited speakers, funds may be requested to support travel costs, such as transportation, lodging, meals and/or per diem, not to exceed \$100 per day for each day the conference is in session.
- b. Not considered:
- i. Conference registration fees, including for students;
 - ii. Honoraria.

H. Books, Archives, etc.

In general, Faculty Research Grants may **not** be used to purchase books, journals, periodicals, microfilm copies, datasets etc. The Library should be consulted prior to individual acquisition. Under exceptional circumstances and with verification of the Library's inability to purchase the items, requests of this category may be considered. All such physical materials purchased with Faculty Research Grants become property of the University, and must be turned over to the Library when the immediate research need has been fulfilled (licensed content cannot be transferred). Commissioning digital copies of rare documents or manuscripts may also be considered. When such copies are designated by the seller as intended for personal use only, then the faculty is not required to turn them over to the library upon completion of their research.