

**UCSB Academic Senate
Council on Research and Instructional Resources**

FACULTY RESEARCH GRANTS POLICY

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

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 ladderstatus.
 - 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.

Application Guidelines

- A. Application Process
 - a. Applications are available on the Faculty Research Grants webpage: <http://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: <http://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. If an applicant is unable to use the funds, early notification to the Council may allow reallocation to meet other needs.
- 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 then brought to the Faculty Grants Committee for 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 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.

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. Research or clerical assistance requests should specify the exact tasks to be performed with enough detail to gauge the hours needed;
 - iii. 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

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.
- b. Not considered:
 - i. Computers and hardware are 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 following. 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 – reimbursements are in accordance with 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.

F. Publication Charges

a. Considered:

- i. Payments related to publication preparations are considered;
- ii. Subvention up to \$2,000
 1. Reviewers on the Committee on Faculty Grants will be requested to comment on the reputation of the publisher(s) listed in the proposal;
 2. The project must be considered a research or creative publication, and not a textbook;
 3. After the Academic Senate receives a copy of the publishing contract (required), the approved subvention funds will be paid directly to the publisher only;
 4. Royalties resulting from the project, up to the awarded subvention amount, are expected to be returned to the Faculty Research Grants program (Academic Senate).

b. Not considered:

- i. Cost of preprints or reprints;
- ii. Open Access fees – such fees should be requested through the Open Access Fund (administered by the UCSB Library).

G. Conferences

Conference travel to present research findings should be requested through the Faculty Travel Grants 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;
- ii. Honoraria.

H. Books, Journals, etc.

In general, Faculty Research Grants may not be used to purchase books, journals, periodicals, microfilm copies, etc. Under exceptional circumstances and with verification of the Library's inability to purchase the items, requests of this category may be considered. All such 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.