

## **FACULTY RESEARCH GRANT/HEALEY ENDOWMENT GRANT University of Massachusetts**

The Faculty Research Grant (FRG) & Healey Endowment Grant (HEG) is offered under the University of Massachusetts Amherst Vice Chancellor for Research and Engagement internal granting program. This program was developed to encourage scholarly research and creative activities by members of the University faculty.

FRG/HEG awards are made consonant with a philosophy of supporting the development of research and creative activities on campus. The goal of the awards is to promote excellence in research, including by increasing extramural sponsored research activity, fostering the dissemination of new research, or otherwise attracting recognition and funds for faculty research. As such the expectation is that the award will produce an effort which will enhance the researcher's capacity to publish and to acquire future outside funding. The end result of the award, for example, may be the development of data to strengthen a larger extramural proposal or the publication of research in a peer-reviewed journal. New members of the faculty are especially encouraged to apply. All full-time UMass Amherst faculty whose appointments extend beyond the current academic year (including those going on sabbatical) are invited to submit applications.

Generally, the FRG/HEG's are intended as seed money for new faculty to develop an area of research/creative activity. FRG/HEG's will not, as a rule, be awarded for on-going support of projects for which outside funding might reasonably be expected. It is also the policy of the Research Council not to fund projects for which the applicant can negotiate with a publisher/exhibitor or other contracting agency for expenses incurred during the course of a project.

### **Relative priorities used by the Research Council in recommending funding for the FRG/HEG's are:**

1. Funding for
  - a. New faculty to start research/scholarly and creative activities;
  - b. Travel and housing in connection with research/scholarly and creative work, including for archival research or for creative work that is site-specific;
  - c. Central research facility or materials support, such as lab equipment, artistic materials, or books (when library borrowing is not feasible or sufficient).
2. Continuation funding for
  - a. Support of research programs between research grants;
  - b. Scholarly and creative activities

- c. Funding for support of specialized training programs.
3. Funding for
  - a. Publication of books, including subvention for visuals, indexes, and permissions
  - b. Page charges
  - c. Support of theater productions which include the scholarly activity of the faculty member
  - d. Support of post-doctorates and other graduate students, including as research assistants working solely for the faculty researcher (but not as collaborators in the research)

**The FRG/HEG generally does NOT support:**

1. Faculty who have received more than two FRG/HEG awards
2. Faculty who have not submitted final reports for previous awards
3. The writing and preparation of manuscripts intended to be used as standard textbooks
4. The preparation of lectures, demonstrations, syllabi or other course-related materials
5. Departmental symposia, seminars, retreats, colloquia, etc
6. Projects whose primary purpose is the support of graduate students or post-doctorates
7. The remedy of budgetary deficiency in other research contracts or grants
8. Salaries or other direct remuneration to faculty members of the University
9. Travel to sabbatical sites
10. Reprint costs
11. Publication costs for individuals or department/disciplinary monographs or series
12. Typing or office expenses related to research (if it is not available through your departmental secretary)
13. Support for new faculty who have received sizable start-up packages
14. Support for faculty who have access to other sources of funding

**All proposals should reasonably reflect the spirit of the guidelines.**

# I. PREPARATION OF THE RESEARCH PROPOSALS

## A. Format of the Proposal

The cover page identifying the investigator and summarizing the project, should have appended to it a detailed explanation of the project. This explanation should be succinct but thorough, and generally should not exceed four or five pages. It should clearly establish the value-added by the materials, travel, or other activity enabled by the grant. Since one of the major reasons for the rejection of proposals is a lack of a clear description of what the investigator intended to do and how it is to be done, the following guidelines should be specifically addressed as you prepare your proposal:

### 1. Exactly what are you going to do? And how will this grant help you to do it?

Objective of proposed study. Brief indication in the proposal of how this funding will help you to achieve your objective (with details to be included in the budget section).

### 2. Why is this particular project important?

Review of literature and significance of proposed study.

### 3. How will you accomplish the goals stated above?

Methodological aspects, research design, techniques employed, etc.

### 4. What is your proposed budget?

Give an explicit justification of each budget category. **Budget must total the requested amount. Use attached budget category list for reference.**

### 5. Future plans for the proposed study.

Publication, more research, exhibition, outside funding sources.

### 6. Do you currently have other research support?

(Including startup funds) List all sources of current research support, all previous FRG/HEGs awarded, and proposals submitted or about to be submitted to other agencies.

### 7. Vita

Previous research experience.

## B. Other Considerations in the Preparation of the Proposal

### 1. Financial Aspects:

There is an upper limit of **\$15,000** for an FRG/HEG. The normal length of these projects is 12 months.

If funds for student assistance are requested, an estimate of the number of hours and the wages per hour must be given. Payments for student assistance and to graduate students must be at a rate that is consistent with University policy; required health insurance must be included (for graduate assistantship information call 5-5287). Students qualified for work study may be employed for only a fraction of the outlay required for students. Accordingly, applicants are urged to consider the use of work-study students when applying for funds.

The investigator will be expected to seek a reasonable amount of secretarial assistance and office supplies from his/her department. Those materials purchased from the grant funds for use in the research project are considered the property of the University.

**2. Travel:**

Funds for travel and housing in conjunction with a field research project, archival work, or site-specific creative work may be requested using the research proposal format. Funds will NOT be awarded for travel only in association with a meeting or conference.

**3. Departmental Heads and Deans:**

Applications have to be accompanied by a statement of support from the department chairperson/head on the merit of the proposal.

## **II. THE ADMINISTRATIVE PROCESS**

### **A. Application Procedure**

The deadlines for submission of proposals are the second Friday of October and March. The original plus six (6) photocopies (total of 7 copies) of the proposal and supporting documentation must reach the Office of Research Affairs, Research Administration Building by 5:00 p.m. of the closing date. If the proposal is late, incomplete, or if the required number of copies is not provided by the deadline, the application will not be considered in the current review period.

The original must be transmitted through the appropriate department head and academic dean for signature. The six (6) copies can be sent directly to the Office of Research Affairs. Comments of the Department Head and Dean should be prepared as a separate memorandum and sent to the Office of Research Affairs.

### **B. The Review Process**

Awards are made following review and upon recommendation of the Faculty Research Council, a Committee of the Faculty Senate. The members of the Council represent a cross-section of the University community. Proposals for each of the two review periods are first examined by a technical reviewer whose comments are made available to a Committee of the Council. Committee recommendations are reviewed by the full Research Council. The Council makes the final recommendations for funding to the Vice Chancellor for Research and Engagement who makes the final selection.

### **C. Final Report**

A final report must be submitted to the Office of Research Affairs within 90 days following completion of the budget period. The report will consist of a completed questionnaire, assessing indicators of scholarly output, a short summary of work done under the FRG/HEG, and copies of any datasets and/or publications resulting from work done under the FRG/HEG. Information gathered in the final report is used to help support continued funding of the FRG/HEG program.

### **D. Extension of Funding Period**

A carry-over of unexpended monies beyond the usual 12 month budget period may be requested in writing from the Office of Research Affairs 30 days before expiration of the grant. Budget periods are extended only upon strong justification. Recovered funds are returned to the FRG/HEG account for redistribution.

**E. Financial Status of Grant**

Information concerning the expenditure of funds and other fiscal data may be obtained from the Controller's Office, Grants & Contracts Section, 5-0806.

*Information relating to other administrative aspects of the grant or proposal may be obtained from: Office of Research Affairs, Telephone 5-5283 or email: [mccandless@ora.umass.edu](mailto:mccandless@ora.umass.edu)*

## Budget Categories

Level 6		Transaction Accounts
700801	AA Employee Compensation	710000-725999
700803	CC Special Employee/Contract Services - <i>For Graduate Research Assistant do not include curriculum fee</i>	72800-731999
700804	DD Pension & Insurance	732000-733999
700407	RR22 Health Insurance Programs	786220
700802	BB Employee Related Expenses	726000-727999
700805	EE Administrative Expenses	734000-734609 734611-734790 734794-734799 734801-734849 734851-738999
700806	FF Facility Operational Expenses	739000-753999
700807	GG Energy & Space Rental Expenses	754000-755999
700808	HH Consultant Services	757000-757029 757031-757036 757038-758999
700810	JJ Operational Services	761010-761079 761081-761449 761451-762999
700812	KK Equipment Purchases	763000-763099 763101-763109 763111-763119 763121-763129 763131-763139 763141-763179 763181-765099 765101-765119 765121-765999
700813	LL Equipment Lease & Maintenance	766000-766099 766101-766149 766151-767099 767101-767149 767151-768099 768101-768149 768151-768999
700814	MM Purchased Client Services	769000-770999
700815	NN Infrastructure and Land	772000-773999
700817	RR Entitlement Programs	786000-786219, 786221-789999
700844	UU Information Technology	764610, 734791-734793 734800, 734850, 757030, 757037, 761080, 761450, 763100, 763110, 763120, 763130, 763140, 763180, 766100, 766150, 767100, 767150, 768100, 768150
700902	Fund Deductions	500000-599999
700828	Indirect	790000-792099, 793211-799499
700R06	BBA Realign Level 6	
700B06	BBA Level 6	
700525	Contingencies and Reserves	799500-799999

**FACULTY RESEARCH GRANT/HEALEY ENDOWMENT GRANT**  
UNIVERSITY OF MASSACHUSETTS AMHERST

1. Principal Investigator: \_\_\_\_\_ Phone: \_\_\_\_\_
2. Department: \_\_\_\_\_ Building: \_\_\_\_\_
3. a) Rank: \_\_\_\_\_ b) Highest degree: \_\_\_\_\_ c) When received: \_\_\_\_\_  
d) Date of 1<sup>st</sup> appointment to University: \_\_\_\_\_  
e) Research Experience (include Curriculum Vitae):  
\_\_\_\_\_  
\_\_\_\_\_
4. Brief Title of Proposal: \_\_\_\_\_  
\_\_\_\_\_
5. Date to be started: \_\_\_\_\_ Probable Completion Date: \_\_\_\_\_
6. A non-technical statement of the objectives of this project:  
\_\_\_\_\_  
\_\_\_\_\_
7. Enclose budget as separate sheet **Total FRG/HEG Amount Requested \$** \_\_\_\_\_  
*(Budget sheet should include total proposal amount)*
8. Does the proposed activity involve any of the following?
  - a. Use of Human Subjects?  Yes  No
  - b. Use of Vertebrate Animals?  Yes  No
  - c. Use of Recombinant DNA?  Yes  No
  - d. Use of Biohazardous Substances?  Yes  No

Signatures *(Only the original needs to be signed)*

- A. Principle Investigator: \_\_\_\_\_ Date: \_\_\_\_\_
- B. Department Head/Chair: \_\_\_\_\_ Date: \_\_\_\_\_
- C. Dean: \_\_\_\_\_ Date: \_\_\_\_\_

**ONE** original & **SIX** copies (total of **SEVEN**) of the completed application, curriculum vita, and supporting documents must be submitted to: Office of Research Affairs, Research Administration Building.