

SMALL GRANTS PROGRAM (SGP)

2019-2020 GUIDELINES

Proposal Submission Deadline

Monday, November 11, 2019, before 5:00 p.m.

Combine all files of the completed proposal into a single PDF, name the file LAST_FIRST_2020 where the LAST is your last name and the FIRST is your first name, and attach the PDF to the online cover page and submit it to the Division of Research.

PROPOSALS SUBMITTED LATE WILL NOT BE CONSIDERED.

Description

The purpose of the Small Grants Program is to provide funding for unique or unusual research and scholarly projects not routinely supported by departments or colleges or not currently funded from external sources. Preference will be given to proposals from faculty who presently have limited alternative sources of funding and to proposals that have partial financial support from their department or college. Small grants may be requested for the publication of books. These awards are specifically targeted for scholarly activity in the humanities, arts, social sciences, and education. Pilot projects from any area, including engineering, natural sciences, and mathematics, will be accepted if they meet the criteria for submission. Awards will be made on the basis of the merit and DOR review.

Up to \$5,000 per year may be requested. Be advised the review committee or DOR may award partial amounts at its discretion in order to support a greater number of faculty projects. Individuals may submit only one application for this program per year. An applicant is only eligible to have one funded SGP over a 2-year period. Exceptions to this eligibility criterion must be made in writing with a letter of support from the corresponding Associate Dean for Research.

Eligibility

Any University of Houston tenured or tenure-track faculty member or Research Assistant Professor who carries a full-time faculty appointment and who has attained the terminal degree in his or her field may apply.

All applicants must meet the following criteria:

- Request must be specific (i.e. funds for a specific research or scholarly project, not for general purposes).
- Requests for the following will **NOT** be funded:
 1. Purchase of computer hardware (e.g. monitors, keyboards, printers, various peripherals, except for peripherals with specific application for the project, such as scanners)
 2. Software, except for packages directly related to the project such as mathematical

analysis toolboxes.

3. Travel to meetings and conferences or travel to training workshops.
 4. Supplementation of other internal or external support.
 5. Faculty salary.
- Individuals may submit only one (1) SGP per year. Renewals of previously awarded projects will not be accepted except in the case of a book subvention, where the proposal is for a different part of the book. A progress report must be submitted as a separate addendum explaining how the proposal builds on the previous award.
 - Faculty applicants should not have received start-up funds exceeding \$50,000 during the past five years (does not include personnel costs or renovations).
 - Faculty applicants who apply for Small Grants may not apply for New Faculty Research Grants

Type of Support

Small grants only support unique research and scholarly activity, including disciplinary equivalents in the performing and creative arts. The program does not cover course preparation for faculty or students, instructional projects, or activities primarily classified as faculty development. The small grant award cannot be used as a supplement to an existing award from any source. All expenditure of funds must comply with State of Texas guidelines.

Due to limited funding in the program, the Research and Scholarship Committee established three areas of priority for funding:

1. Funding that is essential to maintain an ongoing research project initiated at the University of Houston.
2. Initial support for a project with the potential to attract external funding.
3. Travel:
 - a. To meet with program directors at potential sponsoring agencies. SGP will fund not more than 50% of such expenses. Proposals must indicate specific individuals or offices to be contacted, and include any other supporting documentation available.
 - b. To carry out specific research activities, including field work and archival research. Applicant must clearly identify the specific research activity which cannot be carried out on the UH campus and for which travel is therefore required (e.g. to access a library collection not available through interlibrary loan). Applications should reflect the real costs as described in the Allowable Costs section below. Foreign and domestic travel will be given equal priority. All foreign travel requires prior approval by the President of the University of Houston.

Note: Expenditure documents for the SGP will not require prior approval of the Division of Research. Signature authority and compliance for the SGP award resides with the department business administrators.

Formatting Requirements

All documents must be prepared on the US Letter size paper (8.5"x11") with 1-inch margins on all sides, Arial font size 11 pt. The proposal narrative must have exactly 1.5 line spacing; all other documents may be single-spaced. An Arial font size of no less than 8 pt. should be used for the captions to graphics and tables and may be single-spaced. The text in the captions must be legible.

Proposal Documents

Cover Page

The cover page will be generated by entering required data into the online portal. Emails to you, your department chair (or equivalent), your associate dean for research and your dean will be sent after you submit the proposal in lieu of the previously required signature.

NOTE: The proposal must be submitted as a (1) single PDF and include title listed below.

Abstract/Summary

A 200 word single-spaced abstract must be submitted with the proposal.

Proposal Narrative (Up to 6 pages, includes graphics, tables, equations, and formulas)

- a. The proposal narrative must not exceed six pages with exactly 1.5 line spacing and the font size of Arial must be 11 pt. with 1-inch margins. The following sections must include:
 - (1) Objectives
 - (2) Significance and Impact
 - (3) Applicant Expertise
 - (4) Approach
 - (5) Expected Outcomes
 - (6) Feasibility: Provide a timeline of all activities
- b. References Cited are in addition to the 6-page Proposal Narrative and should be single-spaced.

Biosketch(es) (2 pages per investigator)

Provide a two-page biosketch for each PI and Co-PI. NSF style is preferred, but not required. The NIH narrative format is not appropriate.

Current & Pending Support

Provide a list of current & pending support for each PI and Co-PI. Identify the activities closely related to the proposed acquisition.

Budget (1 page)

The budget must be constructed and presented using the standard UH budget template <http://www.uh.edu/research/resources/dor-forms/proposal-processing-forms/>. Please work with your affiliated pre-award personnel to generate the budget.

Budget Justification and Fiscal Accountability (1 page)

Each budget must justify all aspects of the requested budget. It is expected that requests will reflect the real costs of proposed research, scholarship, or travel. Costs must reflect the actual anticipated expenses and must be justified. Travel must be based on current per diem rates.

For subvention costs associated with publishing a book, a copy of the following documents should be submitted:

1. contract from a publisher showing firm commitment and costs of publication
2. short summary of the proposed manuscript
3. copies of editorial reviews from at least two reviewers, if available

The applicant must be able to provide sufficient proof that the publisher has a scholarly reputation and is not a vanity press.

Commitments

This program allows cost sharing or matching from non-DOR sources. Any financial or tangible commitments must be formally documented. Written commitments signed by the sponsoring unit authorities (i.e., Dean, Center Director, and/or Department Chair) must be submitted when cost sharing or matching is proposed. Do not propose activities that exceed the budget limits without specification of additional sources of support for the entire project.

Review Process

All applications will initially be checked against the eligibility criteria outlined above. If eligibility is not met, applications will be returned without additional review alongside an appropriate explanation by Division of Research staff. After the initial screening, applications will be submitted to the Research and Scholarship Committee (RSC) of the Faculty Senate to be evaluated. Each accepted proposal will be competitively reviewed and acted upon by a subcommittee of the RSC that will include non-RSC members from the campus. The RSC will make recommendations to the VC/VP for Research, who will be responsible for awarding the grant. The Division of Research reserves the right to review and change budgets and ask for clarifications from potential awardees. Reviewers will be internal to UH and may not be disciplinary experts. For instance, an application from the College of Pharmacy might be reviewed by a colleague from the College of Arts or the College of Education. Applicants should avoid the use of jargon and make sure the proposal can be understood by faculty across disciplines. The following criteria and scoring will be used to review and rank each proposal.

Criteria	Please allocate points based on the table below.			Points
QUALITY	POOR 0 points	ACCEPTABLE 1 point	EXCELLENT 2 points	

Objectives	The objectives are not stated or not fully aligned with the need for the project.	The objectives are not specific or not fully aligned with the need for the project.	The objectives are clearly stated and are aligned with the need for the project.	2
Significance and impact	The significance and impact of the project are minor.	The significance and impact of the project might be high, but are not clearly articulated or blur with another project.	The significance and impact of the project are high and clearly articulated.	2
Preliminary results and expertise	The proposal lacks the appropriate rationale or expertise needed to accomplish the project.	The proposal does not adequately demonstrate the appropriate rationale or expertise needed to accomplish the project.	The proposal presents a convincing rationale for the project and demonstrates that the appropriate expertise is available to accomplish the objectives.	2
Approach	As described, the approach is not feasible or will not accomplish the objectives as stated.	The approach might be reasonable but is not clearly articulated, or the approach is overambitious for this program.	The approach describes a logical plan to achieve the objectives and is clearly written.	2
Expected outcomes and feasibility	The expected outcomes are not feasible in the 18-month period and are not addressing the impact of the project.	The expected outcomes are not entirely feasible in the 18-month period or do not entirely align with the impact of the project.	The expected outcomes are feasible in the 18-month period and are in line with the impact of the project.	2
TOTAL (maximum 10 points)				10

Congruency Review

Congruency review by the Office of Research Integrity is required for all research submitted to this program. The review must be conducted within three months of the award announcement or the funds will be forfeited. Congruency review includes human subjects, animal usage, biological materials (rDNA, human samples, microorganisms, etc.), and radiation (radioactive materials, lasers, and x-rays).

All projects involving human subjects must be reviewed and approved by the Institutional Review Board (IRB) before the grant cost center will be established.

All projects involving the use of animals in research must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC) before the grant cost center will be established.

All projects involving biological materials must be reviewed and approved by the Biological Safety Manager and the Institutional Biosafety Committee (IBC) before the grant cost center will be established.

All projects involving radiation must be reviewed and approved by the Radiation Safety Officer (RSO) & Laser Safety Officer (LSO) and authorized by the Radiation Safety Committee (RSC) before the grant cost center will be established.

Intellectual Property

In accordance with University policy, faculty members and the University share in net income generated from intellectual property. For additional information, refer to the [Faculty Handbook](#) or contact the [Office of Technology Transfer and Innovation](#) at 713-743-9155.

Funding Announcement

Notification of an award will depend on when the Research and Scholarship Committee completes their review. It is expected that applicants will be notified by email mid-January on the outcome of their award. The grant period is effective for 18 months starting February 1, 2020 to July 31, 2021 depending on completion of the congruency review.

Extensions and Budget Modifications

No extensions will be granted except for circumstances that would also lead to extension of the tenure clock, such as illness or parenting responsibilities. Applications will be evaluated for feasibility over the 18-month period. Budget modifications do not have to be approved by the Division of Research, but the departmental administration must follow the grant guidelines.

Reporting and Acknowledgement

Each grantee must submit a report online not more than 90 days after completion of the grant describing the outcome of the project (an online link will be created prior to the due date on the internal awards page of this award). It is the responsibility of each award recipient to furnish information to the Division of Research concerning external applications that are submitted or awards received because of Small Grants Program. Such information should include the date of submission, the title of the project, inclusive dates, agency, total amount requested, and the status of each application. Failure to comply with this reporting requirement will disqualify an individual for future consideration in all internal funding programs.

Notice must be given of publications, presentations, exhibitions, or performances resulting from the award. The grantee must acknowledge the programs support in all publications resulting from the award and provide one copy of the publication to the Division of Research.

Assistance

Any questions about this program should be referred to Dr. Jack M. Fletcher, jackfletcher@uh.edu. Please do not call or email regarding the reviews. These timelines are not firm.