

The Charge of the Council on Research

The Council as a whole shall regularly review research activities and the allocation of research funds within the University. It shall consider the relationship between teaching and research. The Council shall oversee policy on University research, including that described in the University policy on Organized Research Units. It shall make policy recommendations to the Senate.

The Council as a whole shall be informed on and given opportunity to discuss, at the earliest possible stages in their formulation, proposals for new research initiatives or actions affecting the continuance of existing programs. This would include, but not be limited to, Council responsibilities related to establishment and continuance of Centers, Institutes or Laboratories as guided by the University Policy on Organized Research Units. The Council shall advise the Vice President for Research on such matters and shall make recommendations to the University Planning and Policy Council and the Senate when it determines that major new research initiatives and commitments may significantly affect University organization and resource allocation.

The Council shall be responsible for all policies that guide research procedures being conducted by University members with regard to the wellbeing of animal and human subjects, safety standards, and compliance with other regulatory standards. The Council shall regularly confer with the University institutional review boards in these matters, and shall review their operation and policy implementation.

The Council shall conduct or participate in the review of applications to internal campus research support mechanisms. It may do so by the creation of ad hoc committees that include expertise from faculty who are not members of the Council.

Council on Research Role and Responsibilities

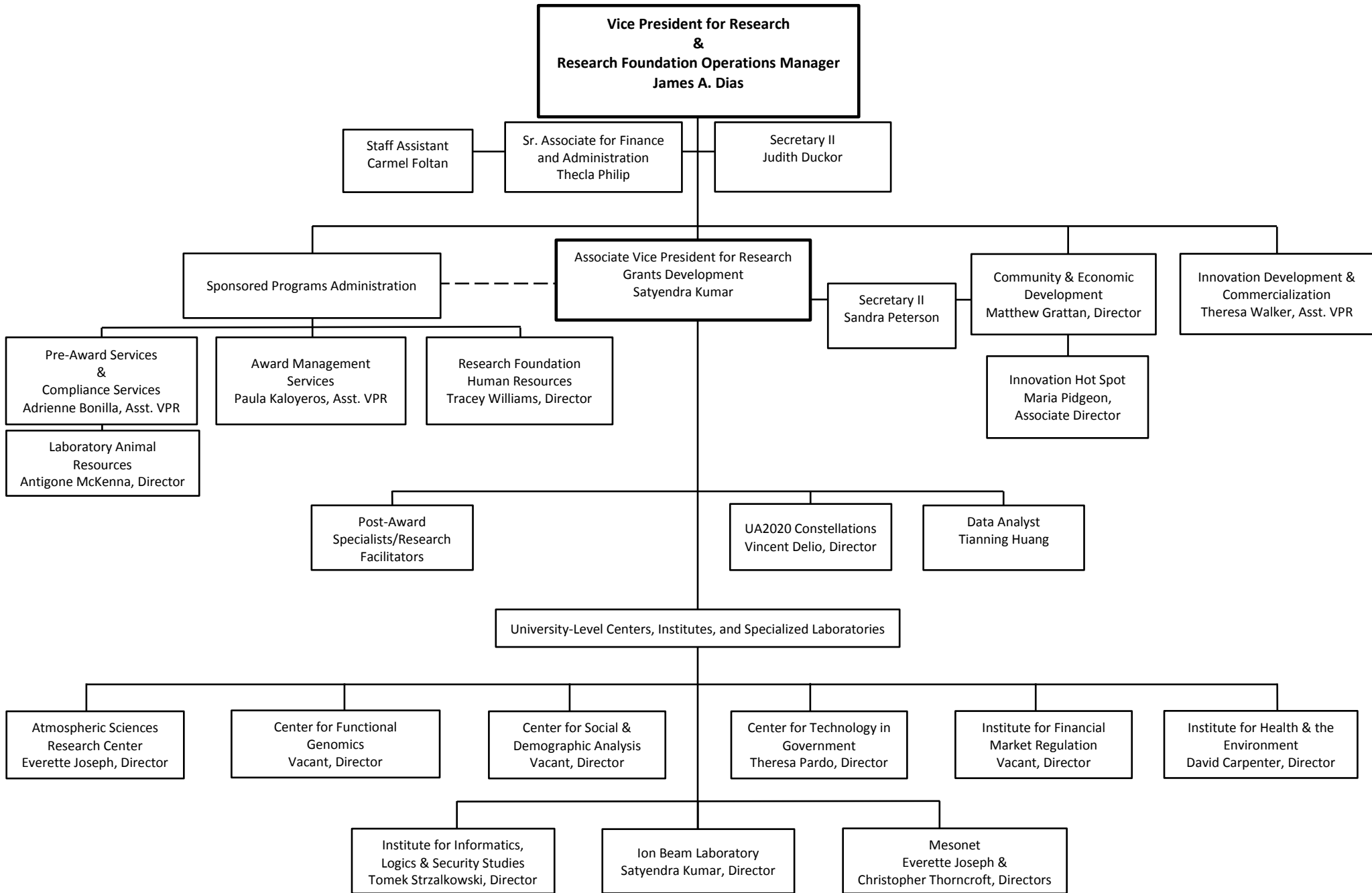
The Council on Research:

1. Regularly reviews research activities and the allocation of research funds within the University
2. Oversees policy on University research and makes recommendations to the Senate
3. Considers the relationship between teaching and research
4. Reviews applications to create new centers, institutes and specialized research laboratories on campus and makes recommendations to the Vice President for Research

Through its subcommittees, the Council makes recommendations to the Vice President for Research in administering the following University awards for research:

1. Benevolent Association awards for graduate student research, offered twice annually
2. Conference/Journal awards providing funding for conferences to be held at UAlbany, or supporting efforts by faculty in producing scholarly journals, offered twice annually
3. FRAP-A awards for seed funding leading to successful external grants
4. Presidential Awards for Excellence in Research and Creative Activities, highlighting outstanding researchers across the university who have made a significant impact in their field

Division for Research Organizational Chart



2017-18 CoR Membership

NAME	STATUS	FACULTY RANK	LOCATION	SENATOR	TERM
Dias, James (<i>ex officio</i>)	M	VP Research	Research		N/A
Rosenswig, Robert (Chair)	T	Assoc. Professor	CAS - Anthropology	S	2016-18
Almahamid, Ilham	T	Asst. Professor	SPH	S	2016-18
Aykanian, Amanda	GS				
Eldridge, Morgan	US				
Ernst, Jesse	T	Assoc. Professor	CAS - Physics	S	2017-19
Lizotte, Alan	T	Distinguished Professor	SCJ	S	2017-19
Minder, Justin	T	Asst. Professor	CAS - DAES		2016-18
Moeyaert, Mariola (Spring Semester)	T	Assistant Professor	SOE - Education & Counseling		
Pastore, Christopher	T	Asst. Professor	CAS - History	S	2016-18
Poehlmann, Nancy	T	Assoc. Librarian	Libraries		2017-19
Robertson, Thomas	GS			S	
Saddler, Bruce (Fall Semester)	P	Asst. Dean/Assoc. Prof	SoE - Special Education	S	2017-19
Stark, Caren	P	Admin Manager	CAS - Biology		2016-18
Warner, Lynn	P	Dean	SSW		2017-19

Key:

M - management

T - teaching faculty

P - professional faculty

GS - graduate student

US - undergraduate student

	14
Quorum	9

Name	Chairing a Committee	Number of subcommittees	If only 1/member, number of addl members req'd
Rosenswig, Robert (Chair)	Yes - CoR	1	0
Almahamid, Ilham	No - Not able	2	1
Aykanian, Amanda	No	2	1
Ernst, Jesse	No	1	0
Lizotte, Alan	No	3	2
Minder, Justin	Yes - Conference/Journal	2	1
Pastore, Christopher	Yes - Excellence...	2	1
Poehlmann, Nancy	No	3	2
Robertson, Thomas	Yes - Benevolent	2	1
Saddler, Bruce	Yes - FRAP-A	1	0
Stark, Caren	No - Not able	2	1
11 Acting Members		21	10

Council on Research (CoR)

2017-18 Subcommittee Composition

Name of Subcommittee	Subcommittee Charge	2017-18 Membership
<p>Benevolent Awards Review (Benevolent Association Research Grant for Graduate Students)</p>	<p>Review applications/proposals and make recommendations for funding to the Vice President for Research via CoR. The committee may also review program guidelines and procedures and submit recommended changes to the Chair of CoR.</p> <p><i>This subcommittee should consist of at least three to five members plus the chairperson, of which at most two may be drawn from faculty or staff who are not students or Voting Faculty. Need at least 3 members.</i></p>	<p>Chair:</p> <p>Members:</p> <p>Staff Support:</p>
<p>Conference/Journal Support Awards Review</p>	<p>Review applications/proposals and make recommendations for funding to the Vice President for Research via CoR. The committee may also review program guidelines and procedures and submit recommended changes to the Chair of CoR.</p> <p><i>This subcommittee should consist of at least two members in addition to the chair. Need at least 2 members.</i></p>	<p>Chair:</p> <p>Members:</p> <p>Staff Support:</p>
<p>FRAP – A Award Review</p>	<p>Review applications/proposals and make recommendations for funding to the Vice President for Research via CoR. The committee may also review program guidelines and procedures and submit recommended changes to the Chair of CoR.</p> <p><i>This subcommittee should consist of nine to eleven members plus the chairperson, of which at most two may be drawn from faculty or staff who are not students or Voting Faculty. Need at least 9 members.</i></p>	<p>Chair:</p> <p>Members:</p> <p>Staff Support:</p>

Name of Subcommittee	Subcommittee Charge	2017-18 Membership
Committee on Centers, Institutes and Specialized Research Laboratories	<p>Responsible for guiding the CoR's actions as charged by the University Policy on Organized Research Units. In coordination with the University's assessment/evaluation initiatives, the committee will recommend improvements to the current procedures for evaluating organized research units.</p> <p><i>This subcommittee must include a minimum of four CoR members, and no more than 2 voting members selected from Faculty or Staff who are not students or Voting Faculty. Need at least 4 CoR members.</i></p>	<p>Chair:</p> <p>Members:</p> <p>Staff Support:</p>
Excellence in Research & Creative Activities Review	<p>Review nomination packets and make recommendations to the Vice President for Research for the University's Excellence in Research & Creative Activities Award. Also, review nominations and make recommendations to the Vice President for Research for the SUNY Chancellor's Award for Scholarship and Creative Activities and the SUNY Research Award.</p> <p><i>This subcommittee must consist of at least 7 to 9 members including the President's designee, the Senate designee, student representation and CoR members. Need at least 4 CoR members.</i></p>	<p>Chair:</p> <p>Members:</p> <p>President's designee: TBD Senate designee: TBD</p> <p>Staff Support:</p>

Name of Subcommittee	Subcommittee Charge	2017-18 Membership
<p>Researchers Liaison Committee</p>	<p>Consider improvements to the campus procedures related to grants management. Provide recommendations to the Vice President for Research, via CoR, on methods to improve investigators' capacity to efficiently apply for external funding and manage grants received</p> <p><i>This subcommittee must be composed of a minimum of three CoR members; a minimum of two principal investigators designated by COR; directors or designees from the following Research Division offices: Pre-Award and Compliance Services, Award Management Services, RF Human Resources, Innovation Development & Commercialization; and no more than 2 voting members selected from Faculty or Staff who are not students or Voting Faculty. Need at least 3 COR members.</i></p>	<p>Chair:</p> <p>Members:</p> <p><i>Standing Institutional Members:</i> Satyen Kumar, Associate Vice President for Research; Adrienne Bonilla, Assistant Vice President for Research & Director, Pre-Award and Compliance Services; Paula Kaloyeros, Assistant Vice President for Sponsored Programs Administration & Director, Award Management Services; Theresa Walker, Assistant Vice President for Research & Director, Innovation Development & Commercialization; Tracey Williams, Director, RF Human Resources.</p> <p><i>Staff Support:</i></p>

Council on Research (CoR)
2017-18 Subcommittee Composition

Staff Support: Carmel Foltan

Benevolent Awards Review

Chair: Tom Robertson
Ilham Almahamid
Jesse Ernst
Caren Stark

Conference/Journal Support Awards Review

Chair: Justin Minder
Amanda Aykanian
Lynn Warner

FRAP – A Award Review

Chair: Bruce Saddler
Petko Bogdanov
Jennifer Burrell
Gang Chen
Jan Halamek
Lee Wonhyung
Liyue Fan
Robert Miller
Christopher Pastore
Jia Sheng
Kendra Smith-Howard
Caro Williams Pierce
Qiang Zhang
Mariya Zheleva

**Committee on Centers, Institutes and
Specialized Research Laboratories**

Chair: Nancy Poehlmann
Ilham Almahamid
Suraj Commuri
Alan Lizotte
Tom Robertson
Caren Stark
Matthew Szydakis

**Excellence in Research & Creative Activities
Review**

Chair: Christopher Pastore
Amanda Aykanian
Sheila Bernard – Senate Designee
Morgan Eldridge
Melinda Larsen
Alan Lizotte – President’s Designee
Alexander Shekhtman
Leonard Slade

Researchers Liaison Committee – Additional members will be requested if it is determined that the committee needs to meet.

Chair: Robert Rosenswig
Christopher Pastore

Council on Research Calendar

2016-17 calendar of review process for FRAP, Conference/Journal Support, Benevolent, and Excellence in Research awards

Benevolent Association Graduate Fellowship Research Award	Fall	Date Completed	Spring	Date Completed
Call for proposals sent to Deans, Directors, Chairs listserv, and GSA	08/15/16	08/26/16	08/15/16	8/26/2016
Applications due to Department Chair	10/03/16		02/06/17	
Send application deadline reminder to listservs	10/31/16		02/20/17	
Applications due from Chair to VPR Office	11/07/16		03/06/17	
Proposals sent to CoR review committee members	11/11/16		03/10/17	
Review committee meets to review proposals (<i>tentative dates</i>)	mid-Nov		mid-March	
Committee recommendations are sent to CoR for a vote	Dec CoR mtg		April CoR mtg	
Applicants notified by VPR Office	01/13/17		04/28/17	

Faculty Research Award Program Categories A and B

FRAP A	Date Completed	FRAP B	Date Completed
Call for proposals sent to Deans, Directors, Chairs listserv	08/15/16	08/15/16	8/26/2016
Applications due to Dean's Office	10/03/16	03/06/17	
Send application deadline reminder to listservs	10/31/16	03/27/17	
Applications due from Dean to VPR Office	11/07/16	04/03/17	
Proposals sent to CoR review committee members	11/11/16	04/28/17	
Review committee meets to review proposals (<i>tentative dates</i>)	mid-Nov	May CoR mtg	
Committee recommendations are sent to CoR for a vote	Jan CoR mtg		
Applicants notified by VPR Office	02/03/17		

Conference/Journal Support Awards

Conference/Journal Support Awards	Fall	Date Completed	Spring	Date Completed
Call for proposals sent to Deans, Directors, Chairs listserv	08/15/16	08/26/16	08/15/16	8/26/2016
Applications due to Department Chair	10/03/16		02/06/17	
Applications due from Chair to Dean's Office	10/07/16		02/10/17	
Send application deadline reminder to listservs	10/31/16		02/20/17	
Applications due from Dean to VPR Office	11/07/16		03/06/17	
Proposals sent to CoR review committee members	11/11/16		03/10/17	
Review committee meets to review proposals (<i>tentative dates</i>)	mid-Nov		mid-March	
Committee recommendations are sent to CoR for a vote	Dec CoR mtg		April CoR mtg	
Applicants notified by VPR Office	01/13/17		04/28/17	

UAlbany Excellence in Research & Creative Activities Awards (ERCA)	Fall	Date Completed
University-wide call for nominations sent to Deans/Directors		09/02/16
Appoint review committee and send it to Provost office for review (prior year's		09/16/17
ERCA Nominations due to VPR Office		11/07/16
Nominations sent to CoR review committee members		11/11/16
Review committee meets to review nomination packets for UAlbany ERCA and Chancellor's Award (ESCA) (<i>tentative dates</i>)		mid-Nov
ERCA and ESCA award recommendations due to VPR Office		01/09/17
VPR Office notifies CoR of award recommendations (CoR vote not required)	Jan CoR mtg	
VPR Office submits ERCA and ESCA recommendations to Provost's Office		02/03/17
UAlbany Excellence Award Ceremony		Spring 2017

Council on Research 2017-18 Calendar

Review process deadlines for FRAP, Conference/Journal Support, Benevolent, and Excellence in Research awards

Benevolent Association Graduate Fellowship Research Award	Fall	Spring
Applications due from Chair to VPR Office	11/06/17	03/05/18
Proposals sent to CoR review committee members	11/13/17	03/12/18
Review committee meets to review proposals (<i>tentative dates</i>)	late-Nov	late-March
Committee recommendations are sent to CoR for a vote	Dec CoR mtg	April CoR mtg
Applicants notified by VPR Office	01/19/18	04/27/18

Conference/Journal Support Awards	Fall	Spring
Applications due from Dean to VPR Office	11/06/17	03/05/18
Proposals sent to CoR review committee members	11/13/17	03/12/18
Review committee meets to review proposals (<i>tentative dates</i>)	late-Nov	late-March
Committee recommendations are sent to CoR for a vote	Dec CoR mtg	April CoR mtg
Applicants notified by VPR Office	01/19/18	04/27/18

Faculty Research Award Program Categories A and B	FRAP A	
Applications due from Dean to VPR Office	11/06/17	
Proposals sent to CoR review committee members	11/13/17	
Review committee meets to review proposals (<i>tentative dates</i>)	mid-Dec	
Committee recommendations are sent to CoR for a vote	Jan CoR mtg	
Applicants notified by VPR Office	02/05/18	
		FRAP B
Applications due to Dean's Office		03/05/18
FRAP B recommendations/proposals due from Dean to VPR Office		04/02/18
Recipients notified by VPR Office		04/27/18
VPR Office notifies CoR of FRAP B recipients (CoR vote not required)		May CoR mtg

UAlbany Excellence in Research & Creative Activities Awards (ERCA)	Fall	
Appoint review committee and send names to Provost for review	Sept CoR mtg	
ERCA Nominations due to VPR Office	11/06/17	
Nominations sent to CoR review committee members	11/13/17	
Review committee meets to review nomination packets for UAlbany ERCA and Chancellor's Award (ESCA) (<i>tentative dates</i>)	mid-Dec	
ERCA and ESCA award recommendations due to VPR Office	01/08/18	
VPR Office notifies CoR of award recommendations (CoR vote not required)	Jan CoR mtg	
VPR Office submits ERCA and ESCA recommendations to Provost's Office	02/05/18	

Tentative - pending approval from VPR

Grenander Award for Non-Animal Methodologies in Research, Testing and Education		
Applications due to Dean's Office		03/05/18
Grenander recommendations/proposals due from Dean to VPR Office		03/12/18
Committee recommendations are sent to CoR for a vote		03/19/18
VPR Office notifies Applicants		Late April

University at Albany

Charter of the University Senate

Select sections from the Charter of the University Senate.

Section V: Councils of the Senate

Much of the routine business of the Senate occurs within its Councils. Councils may gather and disseminate information, act on matters for which authority has been delegated from the Senate, and recommend action in the form of Bills brought to the Senate.

The composition of the councils, eligibility to chair, and council terms must be consistent with Article II Section 6 of the *Faculty Bylaws*.

Details on Council charges, operation, and structure are specified in sections VIII and X of this *Charter*, specifically: X.1 Governance Council X.2 University Planning and Policy Council X.3 Undergraduate Academic Council X.4 Graduate Academic Council X.5 Council on Research X.6 Council on Academic Assessment X.7 Council on Promotions and Continuing Appointments X.8 Council on Libraries, Information Systems and Computing X.9 University Life Council.

Section X: Senate Councils

The Senate may create or eliminate councils, except that the Executive Committee and the Governance Council are created by the *Faculty Bylaws* in Article II, Sections 4 and 5. Following are the councils, their compositions and their charges:

X.5 Council on Research (COR)

X.5.1. Composition

- X.5.1.1. The Vice President for Research or designee, *ex officio*
- X.5.1.2. At least 6 but normally not more than 12 Teaching Faculty, of whom at least four are Senators, from a variety of academic disciplines
- X.5.1.3. At least one, but not more than two Professional Faculty
- X.5.1.4. At least one, but not more than two Graduate Students
- X.5.1.5. One Undergraduate Student
- X.5.1.6. No more than 2 voting members selected from Faculty or Staff who are not students or Voting Faculty.

X.5.2. The staff support member for the Council shall be the assistant to the Vice President for Research.

X.5.3. The Council as a whole shall regularly review research activities and the allocation of research funds within the University. It shall consider the relationship between teaching and research. The Council shall oversee policy on University research, including that described in the University policy on Organized Research Units. It shall make policy recommendations to the Senate.

X.5.4. The Council as a whole shall be informed on and given opportunity to discuss, at the earliest possible stages in their formulation, proposals for new research initiatives or actions affecting the continuance of existing programs. This would include, but not be limited to, Council responsibilities related to establishment and continuance of Centers, Institutes or Laboratories as guided by the University Policy on Organized Research Units. The Council shall advise the Vice President for Research on such matters and shall make recommendations to the University Planning

and Policy Council and the Senate when it determines that major new research initiatives and commitments may significantly affect University organization and resource allocation.

X.5.5. The Council shall be responsible for all policies that guide research procedures being conducted by University members with regard to the well being of animal and human subjects, safety standards, and compliance with other regulatory standards. The Council shall regularly confer with the University institutional review boards in these matters, and shall review their operation and policy implementation.

X.5.6. The Council shall conduct or participate in the review of applications to internal campus research support mechanisms. It may do so by the creation of ad hoc committees that include expertise from faculty who are not members of the Council.

X.5.7. The Council shall conduct or participate in the processes by which campus or SUNY excellence in research award nominations are made. It shall determine the appropriate review process for each award category and may create ad hoc and expert review committees that include faculty who are not members of the Council.

X.5.8. The Committee on Centers, Institutes and Specialized Research Laboratories

X.5.8.1. The committee shall include a minimum of four Council members, and no more than 2 voting members selected from Faculty or Staff who are not students or Voting Faculty.

X.5.8.2. The committee shall be responsible for guiding Council actions as charged by the University Policy on Organized Research Units.

X.5.8.3. The chair of the committee shall be designated by the Council.

X.5.9. The Researchers' Liaison Committee

X.5.9.1. The Committee shall be composed of

X.5.9.1.1. a minimum of three Council members

X.5.9.1.2. The Director of the Office of Sponsored funds, *ex officio*

X.5.9.1.3. A minimum of two principal investigators designated by the Council

X.5.9.1.4. Directors or designees from the following Sponsored Funds offices: Personnel; Purchasing; Accounting; Compliance

X.5.9.1.5. No more than 2 voting members selected from Faculty or Staff who are not students or Voting Faculty.

X.5.9.2. The chair of the Committee shall be designated by the Council.

X.5.9.3. The Committee shall consider ways to improve the campus procedures relevant for grants management. It shall provide recommendations to the Vice President for Research on methods to improve investigators' capacity to efficiently apply for external funding and manage grants received.

X.5.10. Ad Hoc Committees

X.5.10.1. The Council may employ committees to facilitate its actions under the Council Charges.

X.5.10.2. Such committees may be composed in part, but not in whole, of faculty members who are not Council members, and no more than 2 voting members selected from Faculty or Staff who are not students or Voting Faculty. The Council shall specify the composition, charges and chairs of such committees.

X.5.10.3. Ad hoc committees would typically report to the Council, but the Council may specify that some committees report directly to the Vice President for Research in an advisory or consultative capacity.

Sample Application Review/Scoring Process

Budgeted amounts for the internal awards are as follows:

FRAP A: \$120,000

FRAP B: \$80,000

Conference/Journal: \$12,500 each semester (totaling to \$25,000 for the year)

Benevolent: \$3,500 each semester (this is last year's allocation as the budgeted amount has not been confirmed at this time but should be around this amount)

Each subcommittee will need to determine a process for reviewing applications. Listed below are examples of the review process used by the 2014-15 Benevolent and FRAP A subcommittees.

Benevolent Award Ranking/Scoring

To assist in making a decision about who should receive funding, attached is a scoring spreadsheet (discussed below). Please rank each proposal by each of the six categories; five of the categories are ranked on a scale of 1 - 10 and one category on a scale of 1 - 3.

The six categories are:

1. Budget: clearly justified, relates directly to the proposed methods, adds up to the total amount requested (if not, then says where other funding is coming from to add to the total cost necessary to carry out the project).
2. Clarity: link between theory and methods.
3. Methods: clearly articulates how the proposed research is to be executed.
4. Proposal progress: topic approved, committee approved, proposal accepted by committee, IRB review obtained.
5. Writing: grammar, organization, references, etc.
6. Outside funding: only category on a scale of 3
 - o 3 =applied for funding/needs preliminary data
 - o 2=mentioned source but did not apply
 - o 1=no mention of funding

Higher scores (i.e., 10, 3) should be given to proposals that rank highly on these categories. The spreadsheet is designed to calculate the total score across these six categories for each proposal. The maximum score a proposal can receive is 53 points and the minimum score is 6 points. Each committee member should read and rank all proposals, unless a student from his/her department has submitted the proposal.

Each committee member has been assigned as the primary reviewer on two or three of the proposals. As the primary reviewer, you will be responsible for providing the comments regarding the committee's decision to not fund a proposal and/or to help the committee resolve any issues regarding a high degree of variation in the scoring of that proposal. Therefore, please be sure to fill in the "Comments" column in the spreadsheet for the applications for which you are the primary reviewer.

When there are multiple applications from the same department, we should consider the departmental ranking at our meeting, which is enclosed in the packet that you should have received.

FRAP A Award Ranking/Scoring

Each committee member will review 11-12 proposals and will be the primary reviewer on 4 of those proposals. As a primary reviewer, you will be expected to read the proposal closely, score the proposal prior to the committee meeting and complete the critique form. At the meeting, you will briefly explain the proposal to the rest of committee and lead the critique process. For proposals on which you are a secondary reviewer (i.e., all reviewers who are not a primary reviewer), you will be expected to read the proposal, score it and complete the critique prior to the meeting. At the meeting, you will supplement as necessary the information provided by the primary reviewer.

We will use a simplified version of the National Institutes of Health (NIH) review system. The steps are summarized below.

Please complete the following steps prior to the review meeting:

1. Read and critique your assigned proposals.
 - a. Please use the attached critique template to record your critique; use a separate template for each proposal. The template is modeled after the NIH review system - the categories have been adjusted slightly to map onto the FRAP review criteria outlined on the submission guidelines (these guidelines are pasted onto the bottom of the template).
 - b. Assign the proposal a score ranging from 1 to 9 (only whole numbers are used), with 1 being exceptional and 9 being poor. Please see the attached rating scale guidelines to help you calibrate your scores. Also, please take into consideration the feedback from the school-level review, a copy of which will be included with the proposals.
 - c. Please note, in contrast to previous years, you are not expected to read the proposals for which you are not a primary or secondary reviewer. You can skim these proposals as feasible.
2. Email the sub-committee chair your preliminary scores and your critiques by Monday, December 16.
 - a. Record your scores in the excel file that lists your assignments (i.e., type your score between 1 and 9 into the cell marking each assigned proposal).
 - b. Email the excel file to the sub-committee chair by Monday, December 16; it is important that your scores are received by this date as we will be reviewing proposals on which there are large discrepancies in scores and will need time to do that prior to the meeting.
 - c. The sub-committee chair will compile the preliminary scores and email the committee a spreadsheet with the scores prior to the review meeting.
3. Bring hard copies of your critiques to the meeting with you.
 - a. You will largely be working from your written critiques during the review meeting.
 - b. Hard copies of the critiques will be collected after the meeting.
 - c. The critiques will be shared with the applicants unedited. Although the applicants do not get a chance to revise their proposals, they will benefit from written feedback (please keep in mind that the majority of the applicants are junior faculty).
 - d. Please remove your name and the score prior to printing your critiques

The process during the review meeting will be as follows:

Note: A subset of the proposals will be triaged based on the preliminary scores (i.e., we won't review all applications - only those with a chance of being awarded). We will discuss which applications to triage at the beginning of the meeting.

For the proposals that are not triaged, the follow sequence will be used for each proposal:

1. The reviewers will state their initial scores.
2. The primary reviewer will briefly explain the details of the proposal and summarize his/her critique.
3. The secondary reviewers will supplement the information provided by the primary reviewer focusing on areas of critique not raised by the primary reviewer or to which the secondary reviewer might disagree.
4. The committee then discusses the proposal.
5. The reviewers restate their scores- these might have changed as a result of the group discussion. These scores set the bounds within which the remaining committee members can score the proposal.
6. The remaining committee members each record a score for the proposal within the bounds set by the primary and secondary reviewers [it is possible to give a score outside this range].
7. The VPR Office will collate the scores for the proposal as the committee moves on to the next proposal.

Critique template

Reviewer Name:

Investigator Name:

Investigator College:

Score out of 9:

It is generally recommended that 3-4 clear points of feedback are provided in each section. If there are no identifiable weaknesses for a particular section, you can indicate "none identified" in the space provided. Please add additional bullet points as necessary.

<i>Rationale: Justification for the application</i>
Strengths <ul style="list-style-type: none">••
Weaknesses <ul style="list-style-type: none">••

<i>Significance: Potential impact of findings on the field or on society</i>
Strengths <ul style="list-style-type: none">••
Weaknesses <ul style="list-style-type: none">••

<i>Innovation: Novelty and creativity of the idea</i>
Strengths

-
-

Weaknesses

-
-

Approach: Procedures are clearly articulated and appropriate for the study

Strengths

-
-

Weaknesses

-
-

Investigator: Impact on investigator's future potential for funding

Strengths

-
-

Weaknesses

-
-

Special considerations: (e.g., junior investigator, collaborative and interdisciplinary approach, potential to improve a previously submitted application for resubmission, proposal represents a new direction for the investigator)

-
-
-

Budgetary issues noted:

-
-
-

University at Albany Benevolent Association Research Grants Fall 2017 and Spring 2018

GENERAL INFORMATION

The University at Albany Benevolent Association provides funding for a competitive award to support graduate research. Awards are used to pursue research related to dissertation projects or research directly related to the completion of a terminal degree program. The award is available to matriculated graduate degree students. Research projects conducted during the earlier stages of graduate study may also be considered with appropriate justification. Eligible students can only receive the award twice during their graduate studies, except in extraordinary circumstances. **The Fall 2017 award applies to research to be conducted during the Spring 2018 semester, while the Spring 2018 award applies to research to be conducted during the Summer and Fall 2018 semesters.**

APPLICATION REQUIREMENTS

All application packets must be completed in their entirety and submitted in the order noted below:

1. **Application Cover Sheet**
2. **Itemized Budget with Justification Statement**
3. **Abstract** - Double spaced maximum of 200 words.
4. **Project Description Narrative**
5. **Relevant tables for Project Description Narrative (if applicable)**
6. **Timeline of activities/work schedule**
7. **Bibliography**
8. **Curriculum Vitae** - A two-page listing of the applicant's degrees, honors, publications (if any), papers presented at professional meetings, etc.
9. **Advisor's statement concerning the availability of his/her external funding sources for this project** - If the applicant's advisor has external sources of funds (i.e., state, federal or private grants or contracts), the advisor must indicate to what extent the applicant is being supported by these funds. If the applicant is supported by such funds, you must provide justification as to why the Benevolent Association Award is needed.
10. **Research Advisor Rating Form.** Must be completed by the applicant's research advisor and include a statement of the status of the applicant's project (whether it has received official approval appropriate to the department's thesis or dissertation approval requirements) – see attached form.
11. **Final Report on prior Benevolent Award (if applicable).** A copy of the final report for any prior benevolent award must be submitted.
12. **Research Compliance Clearances – For projects involving the use of human subjects, animals, or biohazards, all regulatory and research compliance clearances/approvals must be obtained prior to Award being released.**

- If you have questions about research compliance procedures involving human and animal subjects, please contact the Office for Pre-Award & Compliance Services by email compliance@albany.edu, phone 518-437-3850, or visit the website at <http://www.albany.edu/orrc/index.php>.
- If you have questions about research compliance procedures involving the use of radioactive materials, recombinant DNA, or biohazards, please contact the Office of Environmental Health & Safety by email EHS@albany.edu, phone 518-442-3495, or visit the website at <http://www.albany.edu/ehs/>.

AWARD AMOUNTS

Award amounts do not exceed \$500. The award supports the direct cost of research including the following:

- Travel to conduct research at libraries, archives, laboratories and other research facilities and resources
- Costs of information access
- Remuneration of human subjects
- Purchase of supplies or equipment rental. *Students should be aware that there may be restrictions on what type of research supplies can be purchased and should check with their research advisor.*
- Other research related expenses

Note: Award funds cannot be used for producing a manuscript, travel to scholarly meetings to present research, or for the purchase of office equipment such as laptops and computers.

EVALUATION CRITERIA

Award recommendations are based on the following criteria:

- Quality and feasibility of the proposed research project and design
- Clarity of the proposal to reviewers from other disciplines
- Clarity, rationality and appropriateness of the budget

Preference will be given to:

- Applications for support of dissertation research or research related to the completion of a terminal degree program
- Applications for support of dissertation research whose topic, committee, and proposal have been approved
- Projects with outside funding or with the potential for acquiring outside funding
- Projects that demonstrate the best use of the award, have the greatest impact on their field of research, and are in disciplines where external funding is scarce

POST-AWARD REQUIREMENTS

Award recipients must submit a final report at the conclusion of their award semester. This report should describe the manner in which the funds were utilized and the outcome of the research conducted during the award period. *Applicants who do not submit this report will not be eligible for subsequent funding.* Applicants who wish to be considered for a second round of funding must clearly justify how additional funds will be used. The Benevolent Award Final Report form can be found at the following website:

www.albany.edu/research/assets/BenevolentFinalReport.docx. Please send Final Reports to ResearchInternalAwards@albany.edu.

REVIEW PROCESS

Applicants **must submit the application electronically to the Department Chair** of their college/school by the deadline noted (*please contact the Department Chair for information on where to submit the electronic application*). The Department Chair will forward the electronic application, the signed endorsement form (http://www.albany.edu/osp/assets/Research_Internal_Awards_Endorsement_Form.pdf), department rankings with explanation of the ranking criteria, and final recommendations to ResearchInternalAwards@albany.edu by the deadline noted. A University-wide review committee, the Council on Research, will review the proposals and departmental rankings and make funding recommendations to the Vice President for Research.

DEADLINES

DESCRIPTION	FALL	SPRING
Applicants submit the application electronically to the Department Chair. Please contact the Department Chair for information on where to submit the electronic application.	October 2, 2017	March 5, 2018
Department Chair forwards the electronic application packet, which includes the following: <ul style="list-style-type: none"> • Electronic application • Signed endorsement form • Rankings and an explanation of the ranking criteria • Brief commentary justifying the individual rankings to ResearchInternalAwards@albany.edu. 	November 6, 2017	March 5, 2018
Vice President for Research notifies applicants	Early January 2018	Late April 2018

Note: Application amendments for compliance and dissertation approvals will be accepted until December 4, 2017 for the fall round of competition and April 2, 2018 for the spring round of competition. Please contact the Office of the Vice President for Research at 518-956-8170 with any questions.

University at Albany Benevolent Research Grants for Graduate Students Application Cover Sheet

Please check application period: Fall 2017 Spring 2018

GENERAL INFORMATION

Name (*First, Middle Initial, Last*):

UAlbany ID #:

Phone number:

E-mail:

Mailing Address:

Have you received a prior Benevolent Award? Yes No

If Yes, was it for the same project? Yes No

If Yes, please indicate the date of the award: *(attach a copy of the final report to this cover sheet)*

ACADEMIC INFORMATION

Name of Department:

Degree Program:

Date you began the degree program:

Expected graduation date:

RESEARCH PROJECT INFORMATION

Title of research project:

Name of Research Advisor:

Check one that applies: Master's thesis or project

Dissertation

Other (please specify)

Start date of project:

Expected date of completion:

Has your committee approved your dissertation topic? Yes No

Has your committee been officially approved by your department? Yes No

Has your proposal been officially accepted by your committee? Yes No

If No, what is the expected date of acceptance?

RESEARCH COMPLIANCE

Does your project involve the use of:

Approval attached?

Human Subjects Yes No

Yes No

Animal Subjects Yes No

Yes No

Biohazard Materials Yes No

Yes No

Date protocol submitted to the Office for Pre-Award & Compliance Services:

OR Date the protocol was approved*:

**If approved, please attach a copy of the approval form.*

FUNDING INFORMATION

Other funding *received or approved* for this project:

Source	Amount
	\$
	\$
	\$

Other funding for which you have already applied or that is pending:

Source	Amount
	\$
	\$
	\$

Date of notification, if known

Other funding for which you *plan* to apply:

Source	Amount
	\$
	\$
	\$

CERTIFICATION

I certify that the information provided on this application form is accurate and complete to the best of my knowledge. I agree to comply with all UAlbany policies and procedures, as well as with all applicable regulations. I understand that I have ultimate responsibility for the conduct of this research.

Applicant's Signature:

Date:

Benevolent Itemized Budget

Applicant Name:

Please check application period: Fall 2017 Spring 2018

CATEGORY	BUDGETED AMOUNT	TOTAL BY CATEGORY
Supplies		
Software	\$	
Data Acquisition	\$	
	\$	
	\$	
	\$	
		\$
Postage		\$
Printing		\$
Travel		
Domestic	\$	
Foreign	\$	
		\$
Personnel		
Subject Fee	\$	
Technical Service Fee	\$	
		\$
Service/Processing Charges		
Computer	\$	
	\$	
	\$	
		\$
Equipment Rental		\$
Other (please explain)		
	\$	
	\$	
	\$	
	\$	
		\$
Total Budget		\$
Total amount requested from Benevolent Association		\$

Budget Justification Statement
(attach separate sheet(s) if necessary)

In the space provided below, please describe how the grant will facilitate the research project and why any requested supplies and materials cannot be supplied by other sources within the University. If the budget exceeds the \$500 maximum for a Benevolent Association Award, please indicate where/how you will find other sources of support to complete the project. If an advisor is assisting with the costs of the project, be sure to specifically discuss how the \$500 will be used from the Benevolent Association Award.

Also, please explain how your project would be impacted if (a) the amount awarded is less than the amount requested, and (b) if no award is made.

Project Description Narrative

Please address the following items in no more than seven typed pages (excluding the abstract, bibliographical references, tables, figures, and timeline), double-spaced with 12 point font and one inch margins on all sides. The narrative must be written so that readers outside the discipline can comprehend the proposed research project. It should clearly indicate the relationship of the research project to completion of the degree.

- Objectives or goals of the research
- Rationale for the research, significance to the field
- Fully articulated research methodology
- Preliminary work already accomplished (if applicable)
- Supporting evidence regarding the likelihood of future outside funding (if applicable)

The completed project description document must be included in the application packet.

Research Advisor Rating Form

Applicant's Name

Research Advisor's Name

School/College

Department

Title of research project

Start date of project

Expected completion date of project

Evaluation criteria – please check the appropriate column (SA - strongly agree; A - agree; AR - agree with reservations; D - disagree; SD - strongly disagree)

	SA	A	AR	D	SD
Project contributes significantly to the advancement of knowledge in the discipline, subject matter area or field, and contributes to the improvement or development of experimental design, method, technique, conceptualization in discipline, field or subject matter area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The project is well planned.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
As designed, the project or travel proposed can be accomplished in the time stipulated, with the facilities available and with the budget proposed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The applicant possesses the requisite project related competency or is otherwise qualified to bring the project to successful conclusion.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The project has seed potential; if funded, other organizations may fund follow-up work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The project should be funded.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The student has an approved					
a. Dissertation Committee	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
b. Official departmental approval to begin the dissertation/thesis work	Yes <input type="checkbox"/>	No <input type="checkbox"/>			

Explain the relationship of the proposed research to the degree.

What is your evaluation of this proposal?

Describe the project's principal strengths.

Describe the project's principal weaknesses.

Indicate any modifications that should be made to the budget.

University at Albany Conference Support Award Fall 2017 and Spring 2018

GENERAL INFORMATION

The University at Albany Conference Support Award is available to members of the UAlbany community on a competitive basis to support research conferences organized and/or endorsed by UAlbany faculty. Graduate students are eligible for the award, as long as they have faculty mentor support and the faculty mentor applies on their behalf. This award is designed to fund the direct costs of the conference. Award funds cannot be used to publish proceedings, purchase food or refreshments, or for the purchase or maintenance of office equipment, such as laptops and computers. The Conference Support Award should not be considered as a funding replacement for events which have lost fiscal support from the department or school/college.

Conferences eligible for this award must be held at UAlbany and/or in the immediate Capital District area in order to maximize the visibility of the University to national and international conference participants and to allow as many UAlbany students as possible to attend the conference. Conferences held at the SUNY Global Center in New York City may also be considered eligible for this award.

Recipients of the Conference Support Award are not eligible to apply within a 12-month period of receiving the award. Funding period example (Fall 2016 and Spring 2017 applicants):

- Fall 2016 Conference Support Award funding period: January 1, 2017 - December 31, 2017
 - Fall 2016 recipients would not be eligible to apply for the Conference Support Award prior to Fall 2017
- Spring 2017 Conference Support Award funding period: May 1, 2017 - April 30, 2018
 - Spring 2017 recipients would not be eligible to apply for the Conference Support Award prior to Spring 2018

To be eligible for consideration, applicants must provide the following documentation:

- Matching support from the applicant's Department Chair and/or Dean. Matching support should be in addition to the amount requested.
- A substantial amount of support from sources other than the applicant's Department Chair and/or Dean. The budget must identify and itemize all sources of support and demonstrate that there are sufficient funds available to make the event financially feasible.
- An appropriate registration fee to help defray conference expenses. If a registration fee would discourage the participation of particular groups (e.g., graduate or undergraduate students), such fees may be reduced or waived for these groups. Justification for the requested reduction or waiver must be provided in the application.
- Applications for a Conference Support Award must be submitted no later than one semester prior to the pending conference.

APPLICATION REQUIREMENTS

All application packets must be completed in their entirety and submitted in the order noted below:

1. **Application Cover Sheet**
2. **Itemized Budget**
3. **Budget Justification**
4. **Final Report detailing expenditures funded from prior Conference Support Awards**
5. **Letters of recommendation from the Department Chair and Dean indicating the matching support**
6. **Summary vitae of conference organizers (two-page limitation for each)**
7. **Printed announcement and/or program drafts of pending conference**

AWARD AMOUNTS

Applications for conference support with the following attributes will receive highest priority and may be granted **up to \$2,500**:

- Sponsored by nationally ranked departments
- Speakers are internationally recognized
- Potential for casting the University in a national/ international leadership role
- Represents collaborations with other academic and research units, particularly units beyond the campus

Applications for conference support with the following attributes may be granted **up to \$1,500**:

- Involves the participation of a substantial audience at the regional and/or national level
- Enhances the visibility of the University

Award amounts may vary from the amount requested, depending on the number of proposals recommended for funding, from the limited pool of funds available.

REVIEW PROCESS

Applicants **must submit the application electronically to the Department Chair** of their college/school by the deadline noted (*please contact the Department Chair for information on where to submit the electronic application*). The Department Chair will forward the electronic application, the signed endorsement form (http://www.albany.edu/osp/assets/Research_Internal_Awards_Endorsement_Form.pdf), and supportive documentation to the Dean by the deadline noted (*please contact the Dean's Office for information on where to submit the electronic application packet*). The Dean will forward the electronic application packet to ResearchInternalAwards@albany.edu by the deadline noted. A University-wide review committee, the Council on Research, will review the proposals and make funding recommendations to the Vice President for Research.

POST AWARD REQUIREMENTS

Award recipients must submit a final report at the conclusion of the conference. The Conference Support Award Final Report form can be found at the following website:

www.albany.edu/osp/assets/ConferenceFinalReport.docx. Please send Final Reports to ResearchInternalAwards@albany.edu.

DEADLINES

DESCRIPTION	FALL	SPRING
Applicants submit the application electronically to the Department Chair. Please contact the Department Chair for information on where to submit the electronic application.	October 2, 2017	February 5, 2018
Department Chair forwards the electronic application, the signed endorsement form, and supportive documentation to the Dean. Please contact the Dean's Office for information on where to forward the electronic application packet.	October 6, 2017	February 9, 2018
Dean forwards the electronic application packet, which includes the following: <ul style="list-style-type: none"> • Electronic application • Signed endorsement form • Supportive documentation to ResearchInternalAwards@albany.edu .	November 6, 2017	March 5, 2018
Vice President for Research notifies applicants	Early January 2018	Late April 2018

University at Albany Conference Support Award Application Cover Sheet

Please complete the application cover sheet in its entirety - do not leave any of the sections blank. If a section does not apply, please put N/A. Attach separate sheets, if necessary.

Name of Applicant: _____

If applying on behalf of a student, please list student's name: _____

Applicant's e-mail address: _____

School/College and Department: _____

Title of Conference: _____

Date of Conference: _____

Location of Conference: _____

Charging conference registration fee: Yes No

If the registration fee will be reduced or waived for particular groups, please explain:

Conference Organizers

Name	Department	School

Name of Non-University Sponsor: _____

Description of Conference - explain the purpose of the conference and how it will relate to the research, academic, or international programs of the University (attach a separate sheet, if necessary).

Conference Format (check all that apply)

- Panels
- Lectures
- Discussion groups
- Other (please explain)

Anticipated Number of Attendees and their status (i.e., faculty, students):

Distribution of audience (percentage):

National: _____

International: _____

Local: _____

List names and affiliations of speakers and the basis for their selection

Name	Affiliation	Selection Criteria

Please describe plans for publishing the proceedings, if applicable.

Conference Evaluation – please explain how the conference will be evaluated.

Have you received a prior Conference Support Award? Yes No

Indicate the title and year of previous Conference Support Awards and award amount.

Title of Funded Proposal	Year	Award Amount
		\$
		\$
		\$
		\$

***Applicants must submit a Final Report for previous Conference Support Awards with their application.** The Conference Support Award Final Report form can be found at the following website:
www.albany.edu/osp/assets/ConferenceFinalReport.docx.

Certification

I certify that the information provided on this application form is accurate and complete to the best of my knowledge. I agree to comply with all UAlbany policies and procedures, as well as with all applicable regulations. I understand that I have ultimate responsibility for the conduct of this research conference.

Applicant Signature: _____ Date: _____

Conference Support Award Itemized Budget

INCOME & OTHER SUPPORT

1. Registration Fee X Number of Participants \$ _____
 \$ _____ X _____

2. Conference support from external agencies as of the application date \$ _____

Agency	Amount
	\$
	\$
	\$

3. UAlbany support as of the application date \$ _____
(do not include Conference Support Award for which you are applying)

Unit	Amount
School/College	\$
Department	\$
Other (please explain):	\$

TOTAL INCOME & OTHER SUPPORT \$ _____

ANTICIPATED EXPENSES

Printing	\$
Typesetting	\$
Postage	\$
Copying	\$
Telephone	\$
Supplies (please specify a-c)	\$
a.	
b.	
c.	
Other (please specify d-f):	\$
d.	
e.	
f.	

TOTAL ANTICIPATED EXPENSES \$ _____

Balance (Total Income – Total Anticipated Expenses) \$ _____

TOTAL CONFERENCE SUPPORT AWARD AMOUNT REQUESTED	\$
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Note: For applicants requesting support for a conference for which the principal source of funding is participants' registration fee, the amount of support awarded will be contingent on the actual income and costs incurred. The applicant must submit a final statement of income and expenses after the conference is held, so that if income is greater, or costs are less than estimated, the amount of the award can be reduced to avoid producing surplus income and to achieve a zero balance.

Budget Justification Statement

In the space provided below, please provide justification for all of the expenses listed in the budget itemization. Describe how the award will facilitate the conference expenses and why any requested amounts cannot be supplied by other sources within the University. If the Conference Support Award request is less than the total budget, please explain how the difference will be covered.

Please explain how your project would be impacted if (a) the amount awarded is less than the amount requested, and (b) if no award is made.

University at Albany Faculty Research Awards Program (FRAP)
Application for Categories A and B
Award Period: 5/1/2018 - 4/30/2020

Note: Please check appropriate category on the application cover sheet.

GENERAL INFORMATION

The University at Albany Faculty Research Awards Program (FRAP) provides seed funding for research and creative activities in the form of two separate and distinct grants-in-aid. FRAP-A awards are intended to stimulate new research that has the potential for subsequent external support. FRAP-B awards support more modest research efforts that have potential for external funding or projects for which it is difficult to find external funding, but are of significance to the discipline. Eligible applicants may receive only one award (A or B) per award period. A faculty member may not apply if they have an active FRAP account, unspent start-up funds, or another source of funding, unless there are exceptional circumstances as noted in the *Additional Justification Statement* (page 9 of the application). If you have questions, please contact the Office of the Vice President for Research at 518-956-8170 or via e-mail at ResearchInternalAwards@albany.edu.

FRAP awards support the direct costs of research, such as laboratory experiments, field studies, artistic projects, and humanistic/scholarly endeavors. FRAP awards cannot be used to support summer faculty salary or stipend, travel to conferences, or for the purchase or maintenance of office equipment, such as laptops and computers. Computer software packages for the sole purpose of conducting research must be properly explained in the *Budget Justification Statement* (page 8 of the application). When considering FRAP proposals and the requested level of support, the review committee will evaluate the merits and viability of the project, the overall resources needed, and funding availability.

DESCRIPTION OF CATEGORIES

• **FRAP-A Category**

FRAP-A applications can have only one tenured or tenure track Principal Investigator (PI). The applicant must also be eligible to be a Principal Investigator on a Research Foundation award.

The application must clearly define the role of the PI, the collaborators and research personnel.

Junior faculty with no remaining start-up funds are especially encouraged to apply and will receive special consideration.

This award is competitive at the University level and will compete with applications from any unit of the University. The proposal will be reviewed at the College or School level *and* at the University level. The applications are reviewed by a group of academic colleagues from various units across the University. The project description should be understandable to colleagues outside the applicant's area of research. Clear writing is valuable.

FRAP-A Awards are intended to stimulate new research that has the potential for subsequent external support. The review of FRAP-A applications will be based on its potential to attract external support, as well as:

1. The *QUALITY* - well formulated problem/question and rationale.
2. The *SIGNIFICANCE* - potential impact of findings on the field or on society.

3. The *APPROACH* - clearly stated and justified methodology.
4. The *INNOVATION* - novelty and/or creativity.
5. *IMPROVING AN APPLICATION FOR A RE-SUBMISSION* to an external agency.
6. *COLLABORATIVE AND INTERDISCIPLINARY* approaches will be given preference.

- **FRAP-B Category**

FRAP-B applications compete at the College or School level and provide modest support to projects that are of significance to the discipline, have a potential for external funding, or for which it is difficult to find external funding. Each college/school uses its own eligibility criteria for part-time and professional staff. Jointly appointed faculty may choose which college/school they will submit their application to.

Junior faculty with no remaining start-up funds will receive special consideration.

Priority will be shown to proposals outlining a collaborative and interdisciplinary approach.

Special Note: *FRAP award funds are generally disbursed as Research Foundation grants but may also be disbursed from State or State/IFR sources. Guidelines governing the use of state funds are different from those of the Research Foundation. Award recipients will receive notification regarding the source of funding and instructions that must be followed for utilizing the funds.*

APPLICATION REQUIREMENTS

Incomplete proposals will not be evaluated. All applications must include the following:

1. **Application Cover Sheet**
2. **Project Abstract** – Double-spaced, maximum 200 words
3. **Project Narrative** – In five double-spaced pages or less, describe the proposed project including:
 - a. Major theses of the project and current understanding of the subject matter
 - b. Preliminary work already performed
 - c. Objectives of the work and timeline
 - d. Well articulated research methodology
 - e. Facilities and resources needed for the work
 - f. Likelihood of future external funding - identify programs and agencies to which grant applications will be submitted
4. **References Cited** - does not count toward the five-page limit set for the Project Narrative. Only up to 25 relevant and current references in an accepted citation format in your discipline may be given.
5. **Itemized Budget with Justification Statement** – Please complete in entirety.
6. **Other Support**- Provide *details* of all active funding available to the PI, including all financial resources available in direct support of an individual's research/scholarly activity (not limited to research grants), cooperative agreements, contracts, institutional awards, and unspent start-up funds. Preference will be given to applicants without start-up funds and with limited additional support. Information on all current research awards and those received over the past three years must be provided.

7. Research Compliance Clearances – For projects involving the use of human subjects, animals, or biohazards, all regulatory and research compliance clearances/approvals must be obtained *prior to Award being released.*

- If you have questions about research compliance procedures involving human and animal subjects, please contact the Office for Pre-Award & Compliance Services by email compliance@albany.edu, phone 518-437-3850, or visit the website at <http://www.albany.edu/orrc/index.php>.
- If you have questions about research compliance procedures involving the use of radioactive materials, recombinant DNA, or biohazards, please contact the Office of Environmental Health & Safety by email EHS@albany.edu, phone 518-442-3495, or visit the website at <http://www.albany.edu/ehs/>.

8. Curriculum Vitae – Attach the Principal Investigator’s current vitae including (I) publications in peer-reviewed journals and books, (II) invited professional talks, (III) extramural grants (include their title, funding agency, amount and the period), (IV) professional recognition/honors, (V) grant applications submitted (include the agency’s name, level of funding requested and the date) over the past three years.

9. Supplementary Material – Attach, at your discretion, additional material in support of your proposal provided that it is not an expansion of the application narrative.

10. Prior Year FRAP Awards – Complete the FRAP Final Report form detailing research outcomes, publications, invited talks, other scholarly work, and extramural funding applications or awards related to the FRAP project. Visit the website at <http://www.albany.edu/osp/ualbany-research-funding.php> to locate the form. An award will not be made without the FRAP Final Report.

AWARD AMOUNTS

FRAP-A award amounts range from \$4,000 to \$10,000 per award period.

FRAP-B award amounts range from \$1,000 to \$4,000 per award period.

AWARD PERIOD

The award period for both FRAP A and B begins **May 1, 2018** and ends **April 30, 2020**. In order to ensure timely processing of **payment, requests should be submitted to the Accounting Office no later than May 15 of the fiscal year.**

EVALUATION CRITERIA

In keeping with the spirit of the FRAP program, an application will be evaluated on the likelihood of the application’s success in initiating a new line of scholarship or research that will grow into a larger project in the future. Some of the elements of a successful application include:

1. The scholarly merit of the project as judged by the College/School and Council on Research.
2. Possibility of attracting high caliber students to UAlbany.

3. Timeliness and likelihood of attracting external support as evidenced by the existence of funding programs/agencies listed in the application.
4. Applicant's attempts and success in applying and securing extramural funding over the past three years.
5. Research and funding outcomes of previously awarded FRAPs, other internal awards, and start-up monies for junior faculty.
6. Applicant's scholarly achievements in the form of peer-reviewed publications, books, invited talks at professional conferences.
7. Appropriateness of the project's budget and specific details provided in the *Budget Justification Statement*.

REVIEW PROCESS

The Office of the Vice President for Research sends a call for proposals to the Deans and Department Chairs.

• **FRAP-A**

Applications **must be submitted electronically to the Dean** of their college/school before the deadline (*please contact the Dean's Office for information on where to submit the electronic application*). In accordance with college/school practices, the Dean shall convene an advisory committee to screen applications and rank proposals. The Dean will forward the electronic application, the signed endorsement form (http://www.albany.edu/osp/assets/Research_Internal_Awards_Endorsement_Form.pdf), advisory committee comments, school/college rankings, and other supplemental information to ResearchInternalAwards@albany.edu by the deadline. A University-wide review committee, the Council on Research, will review the proposals, taking into consideration the rankings and comments provided by the college/school, and make funding recommendations to the Vice President for Research.

FRAP-A DEADLINES

DESCRIPTION	FRAP-A
FRAP-A applicants submit the application electronically to the Dean. Please contact the Dean's Office for information on where to submit the electronic application.	October 2, 2017
Dean forwards the electronic application packet, which includes the following: <ul style="list-style-type: none"> • Electronic application • Signed endorsement form • Advisory committee comments • School/college rankings • Other supplemental information to ResearchInternalAwards@albany.edu. 	November 6, 2017
Vice President for Research notifies applicants	Early February 2018

● **FRAP-B**

Applications **must be submitted electronically to the Dean** of their college/school by the deadline (*please contact the Dean's Office for information on where to submit the electronic application*). The Dean will forward the electronic application, the signed endorsement form ([http://www.albany.edu/osp/assets/Research Internal Awards Endorsement Form.pdf](http://www.albany.edu/osp/assets/Research%20Internal%20Awards%20Endorsement%20Form.pdf)), the funding recommendations, and other supplemental information to ResearchInternalAwards@albany.edu by the deadline.

Funding recommendations for FRAP-B awards are determined by each college/school based on an allocated amount and are forwarded to the Vice President for Research for final consideration.

FRAP B-DEADLINES

DESCRIPTION	FRAP-B
FRAP-B applicants submit the application electronically to the Dean. Please contact the Dean's Office for information on where to submit the electronic application.	March 5, 2018
Dean forwards the electronic application packet, which includes the following: <ul style="list-style-type: none"> • Electronic application • Signed endorsement form • Funding recommendations • Other supplemental information to ResearchInternalAwards@albany.edu .	April 4, 2018
Vice President for Research notifies applicants	Late April 2018

Today's Date: _____

Please check appropriate category: FRAP A FRAP B

GENERAL INFORMATION

Name of Principal Investigator: _____

E-mail address: _____

Rank or Position: _____

Unit/Department: _____

Project Title: _____

When do you expect to begin this project? _____ Date: _____

PREVIOUS FRAPs

Indicate title and year of previous FRAP activity and award amount for proposals that were funded.

Note: FRAP awards will not be funded for consecutive years.

Title of Funded Proposal	Year	Award Amount
		\$
		\$
		\$
		\$

Please detail external proposals that were generated from your previous FRAP awards.

What was produced as a result of your previous FRAP awards (publications, invited talks, subsequent extramural grant applications, awards, etc.)?

RESEARCH COMPLIANCE

Does your project involve the use of:

Human Subjects Yes No

Animal Subjects Yes No

Biohazard Materials Yes No

Approval attached?

Yes No

Yes No

Yes No

CERTIFICATION

As principal investigator, I certify that the information provided on this application form is accurate and complete to the best of my knowledge. I agree to comply with all UAlbany policies and procedures, as well as with all applicable regulations. I understand that I have ultimate responsibility for the conduct of this research.

Applicant Signature: _____ Date: _____

FRAP Itemized Budget

Name of Applicant: _____

Research Foundation Fringe Benefit Rates - for fringe benefit rates pertaining to the appropriate time period, please see <http://www.albany.edu/osp/assets/RatesCodesContacts.pdf>.

CATEGORY	BUDGETED AMOUNT		TOTAL BY CATEGORY
Salary & Fringe Benefits			
	Salary	Fringe	
Graduate Students	\$ _____	\$ _____	
Undergraduate Students	\$ _____	\$ _____	
Other Personnel	\$ _____	\$ _____	\$ _____
Consultant Services		\$ _____	\$ _____
Please consult with the Office of Sponsored Funds Personnel MSC 326 at 437-4500 prior to making any commitments to an outside individual.			
Travel			
Airfare/train/bus		\$ _____	
Hotel/lodging accommodations		\$ _____	
Meals		\$ _____	
Local transportation, parking, etc.		\$ _____	\$ _____
Supplies (please specify)			
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	\$ _____
Miscellaneous			
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	
_____		\$ _____	\$ _____

Equipment \$_____ \$_____
(exclude general purpose and computer
equipment; special justification required)

Grand Total \$_____

FRAP Amount Requested	\$
------------------------------	----

Budget Justification Statement
(attach separate sheets if necessary)

In the space provided below, please provide justification for all of the expenses listed in the budget itemization. Describe how the award will facilitate the research project and why any requested amounts cannot be supplied by other sources within the University. If the FRAP request is less than the total budget, please explain how the difference will be covered.

Please explain how your project would be impacted if (a) the amount awarded is less than the amount requested, and (b) if no award is made.

Additional Justification Statement
(attach separate sheet(s) if necessary)

If you have an active FRAP account, unspent start-up funds, or other sources of funding, you must provide justification as to why these funds have not been expended and why the FRAP award is needed. Please provide detailed information on the following:

- Updated spending plan and timeline for unobligated balances.
- If an extension was granted, detailed circumstances for needing the extension.

Other Support Statement
(attach separate sheets if necessary)

Please provide details of all active funding available to the PI. Other Support includes all financial resources available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts and/or institutional awards, including startup funds.

1. Project Title: _____
Funding Source: _____
Support Level: \$ _____
Period of Support: _____

2. Project Title: _____
Funding Source: _____
Support Level: \$ _____
Period of Support: _____

3. Project Title: _____
Funding Source: _____
Support Level: \$ _____
Period of Support: _____

4. Project Title: _____
Funding Source: _____
Support Level: \$ _____
Period of Support: _____

University at Albany Journal Support Award Fall 2017 and Spring 2018

GENERAL INFORMATION

The University at Albany Journal Support Award is available to members of the UAlbany community on a competitive basis to provide editorial support organized and/or endorsed by UAlbany faculty. Graduate students are also eligible for the award, as long as they have faculty mentor support and the faculty mentor applies on their behalf. The awarded funds for the proposed project can be used over a period of three years. At the conclusion of the 1st three-year award period, recipients may re-apply for a second three-year period for the same edited series or journal. Recipients who have received two consecutive awards (six years of support) for the same edited series or journal are not eligible to re-apply. Applications must include a final report showing how research funds were used during any prior award periods. Award recipients are eligible to apply in Fall and Spring of the same academic year if the Journal Support Award applications are for different journals. There is no provision for summer faculty salary or stipend and project funds may not be expended for the purchase or maintenance of office equipment, such as laptops and computers.

Note: Preference will be given to those who do not already have a Journal Support award.

To be eligible for consideration, applicants must demonstrate the following:

- Documentation of matching support from the applicant's Department Chair and/or Dean.
- A substantial amount of support from sources other than the applicant's Department Chair and/or Dean. The budget identifies and itemizes all sources of support and demonstrates that there is a sufficient amount available to make the publication financially feasible.

APPLICATION REQUIREMENTS

All application packets must be completed in their entirety and submitted in the order noted below:

1. Application Cover Sheet
2. Itemized Budget
3. Budget Justification
4. Final Report from prior Journal Support Awards
5. Letters of recommendation from the Department Chair and Dean indicating the matching support
6. Summary of applicant's vitae (two-page limitation)
7. One original copy of the journal or edited series

AWARD AMOUNTS

Applications for journal support with the following attributes will receive highest priority and may be granted **up to \$2,500**:

- Recognized to be among the top research publications in the discipline
- Have a substantial national and international readership
- Have a special recognition within the field

Applications for journal support with the following attributes may be granted **up to \$1,500**:

- Focus on the subspecialties within the discipline
- Serve a more limited readership
- One of several in a field

Award amounts may vary depending on the number of proposals recommended for funding, from the limited pool available, and on the particular nature of the activity.

REVIEW PROCESS

Applicants **must submit the application electronically to the Department Chair** of their college/school by the deadline noted (*please contact the Department Chair for information on where to submit the electronic application*). The Department Chair will forward the electronic application, the signed endorsement form (http://www.albany.edu/osp/assets/Research_Internal_Awards_Endorsement_Form.pdf), and supportive documentation to the Dean by the deadline noted (*please contact the Dean's Office for information on where to submit the electronic application packet*). The Dean will forward the electronic application packet to ResearchInternalAwards@albany.edu by the deadline noted. If only a hard copy of the journal or edited series is available, hard copies can be sent to the Office of the Vice President for Research, UNH 307. A University-wide review committee, the Council on Research, will review the applications and make funding recommendations to the Vice President for Research.

POST AWARD REQUIREMENTS

Award recipients must submit a final report when all award funds have been expended or at the conclusion of the award period, whichever occurs first. The Journal Support Award Final Report form can be found at the following website: www.albany.edu/osp/assets/JournalFinalReport.docx. Please send Final Reports to ResearchInternalAwards@albany.edu.

DEADLINES

DESCRIPTION	FALL	SPRING
Applicants submit the application electronically to the Department Chair. Please contact the Department Chair for information on where to submit the electronic application.	October 2, 2017	February 5, 2018
Department Chair forwards the electronic application, the signed endorsement form, and supportive documentation to the Dean. Please contact the Dean's Office for information on where to forward the electronic application packet.	October 6, 2017	February 9, 2018
Dean forwards the electronic application packet, which includes the following: <ul style="list-style-type: none"> • Electronic application • Signed endorsement form • Supportive documentation to ResearchInternalAwards@albany.edu .	November 6, 2017	March 5, 2018
Vice President for Research notifies applicants	Early January 2018	Late April 2018

University at Albany Journal Support Award Application Cover Sheet

Please complete the application cover sheet in its entirety - do not leave any of the sections blank. If a section does not apply, please put N/A. Attach separate sheets, if necessary.

Name of Applicant: _____

Applicant's e-mail address: _____

School/College and Department: _____

Have you previously received a Journal Support Award? Yes No

**Applicants must submit a Final Report for previous Journal Support Awards with their application. The Journal Support Award Final Report form can be found at the following website:*

www.albany.edu/osp/assets/JournalFinalReport.docx.

Description of the Journal (attach separate sheets if necessary)

1. Name of journal/edited series: _____

2. Did the journal/edited series begin at the University at Albany? Yes No
If yes, when did it begin: _____

3. Is the journal/edited series the publication of an association/professional organization?
Yes No
If yes, please identify: _____

4. Is there a "ranking" for your journal within your field? Yes No
If yes, how does your journal rank? _____

5. Does the editorship rotate on a specified schedule? Yes No
If yes, what is the rotation schedule: _____

6. Date of your editorship:
From _____ To _____

7. Number of subscriptions: _____
Distribution: National International Regional

8. How many articles, on average, are submitted per issue? _____
Of the articles submitted, how many articles are published? _____

9. What is the policy for solicitation and selection of articles?

10. Describe the type and level of subject matter and source of authors.

11. Describe your readership.

12. Are you receiving compensation for this editorship/service?

Yes No

If yes, please explain:

Certification

I certify that the information provided on this application form is accurate and complete to the best of my knowledge. I agree to comply with all UAlbany policies and procedures, as well as with all applicable regulations. I understand that I have ultimate responsibility for the conduct of this research.

Applicant Signature: _____ Date: _____

Journal Support Award Itemized Budget

INCOME & OTHER SUPPORT

1. Cost of Subscription X Number of Subscriptions \$_____
 \$_____ X _____

2. UAlbany support as of the application date (total from box below) \$_____
 * do not include the Journal Support Award amount for which you are applying

Unit	Amount
Department Chairperson	\$
Dean	\$
Other (please specify):	\$

TOTAL INCOME & OTHER SUPPORT \$_____

ANTICIPATED EXPENSES

Printing	\$
Typesetting	\$
Postage	\$
Copying	\$
Telephone	\$
Supplies (please specify a-c):	\$
a.	
b.	
c.	
Other (please specify d-f):	\$
d.	
e.	
f.	

TOTAL ANTICIPATED EXPENSES \$_____

Balance (Total Income – Total Anticipated Expenses) \$_____

TOTAL JOURNAL SUPPORT AWARD AMOUNT REQUESTED	\$
---	-----------

Note: The budget should show a zero balance after entering the amount of the award requested.

Distribution of the total award amount requested (check all that apply):

- 2017-18 \$_____
- 2018-19 \$_____
- 2019-20 \$_____

Budget Justification Statement

In the space provided below, please provide justification for all of the expenses listed in the budget itemization. Describe how the award will facilitate journal expenses and why any requested amounts cannot be supplied by other sources within the University. If the Journal Support Award request is less than the total budget, please explain how the difference will be covered.

Please explain how your project would be impacted if (a) the amount awarded is less than the amount requested, and (b) if no award is made.

Addendum A

Policies and Procedures for Establishing, Operating, and Reviewing Organized Research Units at the University at Albany

Introduction

The University at Albany encourages the formation of organized research units to conduct and facilitate coordinated research programs and service activities, to promote collaborations among and across disciplines, to enhance the University's research strengths, to increase extramural funding, and to foster the application of our research to meet societal needs. These units are, by design, entrepreneurial. Although the university may commit internal resources to help initiate and support these units, external funding will be expected to provide the largest part of the support for a unit's operation and activities.

The University desires that collaborative and innovative organized research units succeed and prosper. The following policies and procedures are designed to ensure and enhance their success and viability. The Office of the Vice President for Research, in cooperation with the Council on Research, is responsible for implementing these guidelines. Comments and suggestions concerning future revisions are welcome and should be addressed to the Vice President for Research.

Nomenclature

The phrase "organized research unit" refers to collective research enterprises that typically contain the word "center," "institute," or "laboratory," and that constitute a unique and limited set of institutional expressions of faculty research interests and expertise.

- ◆ An **institute** is an organized research unit established on a continuing basis primarily for the coordination and promotion of faculty research interests organized around a broad subject area. Normally, the breadth of research projects and programs transcends department, school, college, or even campus boundaries, and application of research to meet societal needs is a part of an institute's mission. Indeed, public service activities and programs related to and arising from research conducted within an institute help advance institutional goals. Indeed, the creation of an institute requires clear and strong evidence of service to long-range university goals.
- ◆ A **center** is (1) analogous to an institute but is more limited in scope, or (2) an organized research unit that serves a specific purpose within an institute, or (3) a unit that provides specialized capabilities to further research or enhance instruction.
- ◆ A **specialized laboratory** is a specific facility headed by a director who is a faculty member with a research staff that may include non-faculty personnel. These facilities are organized around a specific research need, i.e., one that involves or serves more than an individual faculty member's research.

Governance and Reporting Authority

Organized research units are further classified according to the governance structure outlined in the units' operating plans – the level at which units report or at which units are evaluated, i.e., the university office or officer that is directly responsible for evaluating the unit's performance and exercising fiscal oversight.

- ◆ **University-level organized research units** report directly to the Vice President for Research. These units are large-scale, often multi-college, interdisciplinary organizations whose missions are directed toward the strategic strengths and initiatives of the University. University-level organized research units may receive some financial support from the Vice President for Research.
- ◆ **School- or college-level organized research units** report to the dean, or dean's designee. The mission statements of these units often have an interdisciplinary focus, but they are primarily sponsored by a given school or college. School- or college-level organized research units may receive some financial support from the school, college and, occasionally, from the Vice President for Research.
- ◆ **Department-level organized research units** report to and are primarily sponsored and supported by an individual department (they may receive some additional funding from the dean or Vice President for Research). A department-level unit reports on a daily basis directly to the department chair.
- ◆ **Sponsored-Program Based organized research units** are established by the signatory authorization recorded on the initial proposal to a funding agency, and receive their designation from a grant competition or block funding offered by a federal or state governmental agency or private foundation. These units dissolve at the conclusion of the funding period unless they submit a successful renewal proposal or request status as a university-, school-, or department-level organized research unit.

Objectives of organized research units vary but will include advancing the strategic goals of the university, improving research responsiveness and facilitating external relations with other research enterprises and grant-funding agencies. (Please refer to *Appendix A* for illustrations of the various forms of organized research units.)

Resources and Expectations

The defining criterion for newly formed organized research units is that they add value to the University's research environment. All organized research units need to be accountable in these terms. Research programs conducted under the auspices of the organized research unit should also advance the University's strategic goals and provide for collaborative or interdisciplinary ventures.

Ultimately, the commitment of institutional funds is tied to the organized research unit's success in meeting these expectations. Since organized research units should be working toward 100% self-sufficiency, provision of institutional support normally will be term-based and predicated on the unit's performance as determined by periodic reviews and evaluations (see below).

Establishment and Application Procedures

The policies and procedures governing organized research units are designed to ensure the University's reputation for nurturing high-quality research and service. However, because the University has finite funds with which to support organized research units, these units are expected to secure funding to support their endeavors from external sources. All proposals for

Table 1

Examples of Desirable Features of an Organized Research Unit

- **Mission advances the strategic strengths and goals of participating academic units and the University.**
- **Unit features a research program that is a particular strength of the University.**
- **Unit operation provides for a leveraged return on the University's investment.**
- **Unit uses incentive funding effectively.**
- **Existence enhances research productivity and extramural funding.**
- **Unit provides special advantages to affiliated academic units and researchers that would otherwise not occur.**
- **Academic units participate and benefit.**
- **Activities strengthen the educational enterprise and integrate undergraduate, graduate and postdoctoral education and training.**
- **Unit sponsors special lectures, seminars, symposia, exhibits, or conferences.**
- **Unit exhibits evidence of national or international reputation as relevant to mission and strategic goals.**
- **Unit undertakes research and educational programs relevant to societal needs.**
- **Discontinuance of the unit would have a detrimental effect on the University community.**

new organized research units should contain a concise but thorough, three-year operating plan for the research unit. *Appendix B* contains a proposal outline, and *Appendix C* charts the approval process. Applications may be submitted throughout the calendar year. The review would occur within the next two regularly scheduled meetings of the Council on Research.

A director, who is appointed by the officer to whom the organized research unit reports, administers the unit in consultation with a faculty/staff advisory committee. This committee will be appointed by the director, in consultation with the University officer with oversight responsibility for the unit (Vice President for Research, dean, or department chair). Organized research units do not confer tenured appointments; tenure is granted solely through an academic department. However, research staff, faculty associates or affiliates may hold non-tenured faculty appointments and have voting rights and serve on graduate student committees or as thesis advisors in a given department if the department so authorizes. Joint or adjunct appointments between research unit professional staff and academic departments are strongly encouraged.

Operational Procedures and Responsibilities

Effort must be expended on a regular basis to manage organized research units. All units should maintain a current operating plan and be prepared for internal or external audits at all times. In addition, as is discussed below, units should complete an annual report and undertake periodic self-evaluations for which they will need to document productivity and accomplishments. All organized research units should also maintain a web site and have appropriate brochures or publications describing their mission, goals and accomplishments.

The Division of Research is an available resource in assisting organized research units in meeting their operational needs.

Periodic Review

Each organized research unit will prepare a brief annual report to the relevant University officer with oversight responsibility documenting its performance relative to its stated mission and strategic goals, listing grants, publications, patents, etc. These reports would be available to the Council on Research. In addition, each organized research unit will periodically conduct an examination of its organization, activities, and research achievements working toward programmatic self-improvement. The period of this review (e.g., five years) would be established at the time of creation or at a full review of the unit. The form of this review will be determined by the unit's director and the University officer with oversight responsibility, in consultation with the Vice President for Research and the subcommittee on Centers and Institutes. It may involve self-study coupled with internal or external¹ review or a compilation of outside reviews by the funding sponsor. The evaluation – taking the form of a concise report – is then presented to the subcommittee on Centers and

Table 2

Examples of Evaluative Criteria

- **Quality of the research program, resulting body of scholarship, and reputation of the unit documented by such indices as publications (e.g., peer-reviewed journals), exhibits, performances, or presentations of results at national professional meetings and other forums. Formal citations of participating faculty and research staff, level of faculty/research staff involvement, and forms of recognition accorded the unit and its membership from the professional community.**
- **Leveraged return on University's investment, success in generating extramural funding as documented by the number of applications submitted, awards received, sources of support, percentage of the unit's personnel receiving extramural support, and degree of financial self-sufficiency demonstrated by the unit over time as it relates to the unit's plan. Proposals for new units should make a strong case that substantial extramural support is present or available from identified and described sources.**
- **Successful fostering of collaborative relationships based on the initiation, completion, dissemination, and application of the results of formal joint research efforts.**
- **Contributions to the education and training of University students and postdoctoral fellows as documented through a review of the involvement of unit personnel in the supervision of undergraduate, graduate and postdoctoral student research activities, theses, dissertations, and graduate course instruction.**

¹ Typically consisting of at least three outside reviewers

Institutes. This committee's evaluation and recommendations will, in turn, be submitted to the Council on Research and the Vice President for Research (see Table 2 for evaluative criteria).

Each organized research unit slated for periodic review should constitute a committee to conduct the evaluation and prepare the report. (See *Appendix D* for a sample outline.) For newly approved units, an initial evaluation will normally be conducted after a three-year interval. This evaluation focuses on the types of evaluative criteria shown in Table 2. The review period may be altered at the discretion of the Vice President for Research in consultation with the Council on Research. Advance notification of the timing change must be provided to the center or institute.

Evaluation

Upon receipt of the organized research unit's formal evaluation, the subcommittee on Centers and Institutes will discuss the report, and any evaluations thereof, and submit a summary recommendation to the Council on Research. The summary recommendation includes evaluative comments along with a set of recommendations regarding the programs and activities of the organized research unit. The subcommittee may recommend that the organized research unit be continued or renewed, combined with another unit, placed on probation, or discontinued. The Council on Research then issues a recommendation to the Vice President for Research who will make a final decision in consultation with the appointing officer (dean or department chair), or in the case of the university-level units, with the President. The Vice President for Research will either accept the recommendation or provide a written response to the Council explaining the rationale for not accepting it.

Instituting a Probationary Period or Suspension

The Vice President for Research may choose to place a unit under a period of probationary review if one or more of the criteria in Table 3 are satisfied. Multiple or severe violations of the criteria may result in immediate suspension, followed by review, whereupon termination may be recommended. Appropriate documentation will be made available to the unit placed under probation or suspension or termination noting the specific areas that need to be addressed to achieve a satisfactory evaluation. The Vice President for Research, taking into consideration the recommendations of the Council on Research, will determine the subsequent review interval and process for any organized research unit placed on probation. If after being placed on probation or suspension, an organized research unit fails to receive a satisfactory evaluation following a subsequent review, the unit will be recommended for discontinuance. In serious cases of performance failure, immediate discontinuance may be warranted before the second review. The Vice President for Research makes this decision in consultation with the Council on Research, and the appointing officer (dean or department chair), or in the case of university-level units, with the President.

Merger, Change in Mission, or Discontinuance

Directors of organized research units may request a merger with another organized research unit whose mission subsumes its own. Similarly, they may also request that their unit be discontinued. Typical reasons for requesting discontinuance include prolonged periods of inactivity, insufficient funding, changes in the research program so that it is no longer consistent with the stated mission and goals, or loss of key research personnel in the unit.

Appeals

Table 3

Criteria for Instituting a Probationary Period, Suspension or Termination

Evaluative Criteria:

- **Significant deviation from stated mission, strategic goals, and financial plan.**
- **Precipitous decline in productivity as measured by the standards relevant to the disciplines involved.**
- **Failure to contribute to the educational mission as described under appendix D, part V.**

Management Criteria:

- **Poor management as documented by a lack of evidence of meeting objectives of operating plan, or of successfully adapting to changes in research opportunities and directions.**
- **Fiduciary or ethical violations.**

In the case that a proposal for a new unit is not approved, or that probation, suspension, or termination is recommended, the applicants may appeal the decision, based on the written review of the evaluation provided by the Vice President for Research. Such appeals would consist of written documentation responding to points raised in the written summary. The Council on Research and its subcommittee on Centers and Institutes will consider appeals. Recommendations would then be forwarded to the Vice President for Research for final consideration.

Appeals must be filed within 90 days of receipt of notification of the action. Such appeals will be evaluated in one of the next two regularly scheduled meetings of the Council on Research or its subcommittee on Centers and Institutes, to be followed by a timely response from the Vice President.

Appendix A

Examples of Organized Research Units at the University at Albany

- Institute:** The primary function of the *Institute for Social Services Research and Development (ISSRD)* is to serve as an umbrella organization to coordinate, promote and oversee research, outreach programs, and workforce education and training in the area of social service programs and systems. *As a school/college level institute, this unit reports directly to the Dean of the School of Social Welfare.*
- Center:** *The Hindelang Criminal Justice Research Center* focuses on Criminal Justice research. Center faculty associates/affiliates are involved in numerous projects, including a multi-year, longitudinal examination of the causes and correlates of serious delinquency and drug use. They also compile and publish the internationally acclaimed *Sourcebook of Criminal Justice Statistics* and have worked with the United Nations to develop the first comprehensive international archives on criminal justice data and procedures. *As a school or college-level center, this unit reports to the Dean of the School of Criminal Justice.*
- Laboratory:** *The Ion Beam Laboratory* is an example of a specialized laboratory. Housed in the Department of Physics, the Ion Beam Laboratory features a Dynamitron accelerator, NEC Tandem high-energy implantation, Extrion 50-400 keV implanter, and a Danfysik 30-150 keV implanter. Support systems include a scanning electron microscope, x-ray analysis, alpha-step profilometer, optical microscopy, and HV and UHV evaporators. *As a university-level laboratory, this facility reports directly to the Vice President for Research.*
- Sponsored-Program Based:** *The Center on English Learning & Achievement (CELA)* was established in 1987, when it received a small award from the U.S. Department of Education's Office of Educational Research and Improvement (OERI) to focus on the teaching and learning of literature. Even as the Center's work was improving literature education, it became apparent that a broader approach was needed to address the language and literacy skills that students would need to develop in the 21st century. Accordingly, OERI awarded the Center a new grant that broadened its scope to include all aspects of English and language arts teaching and learning with the goal of helping students achieve the levels of literacy necessary for success. Dedicated to improving teaching, the Center provides information to teachers, schools, and communities so that they can choose approaches that will work with their students. *As a sponsored-program based center, located within a specific school, CELA reports to the Dean of the School of Education.*

Appendix B

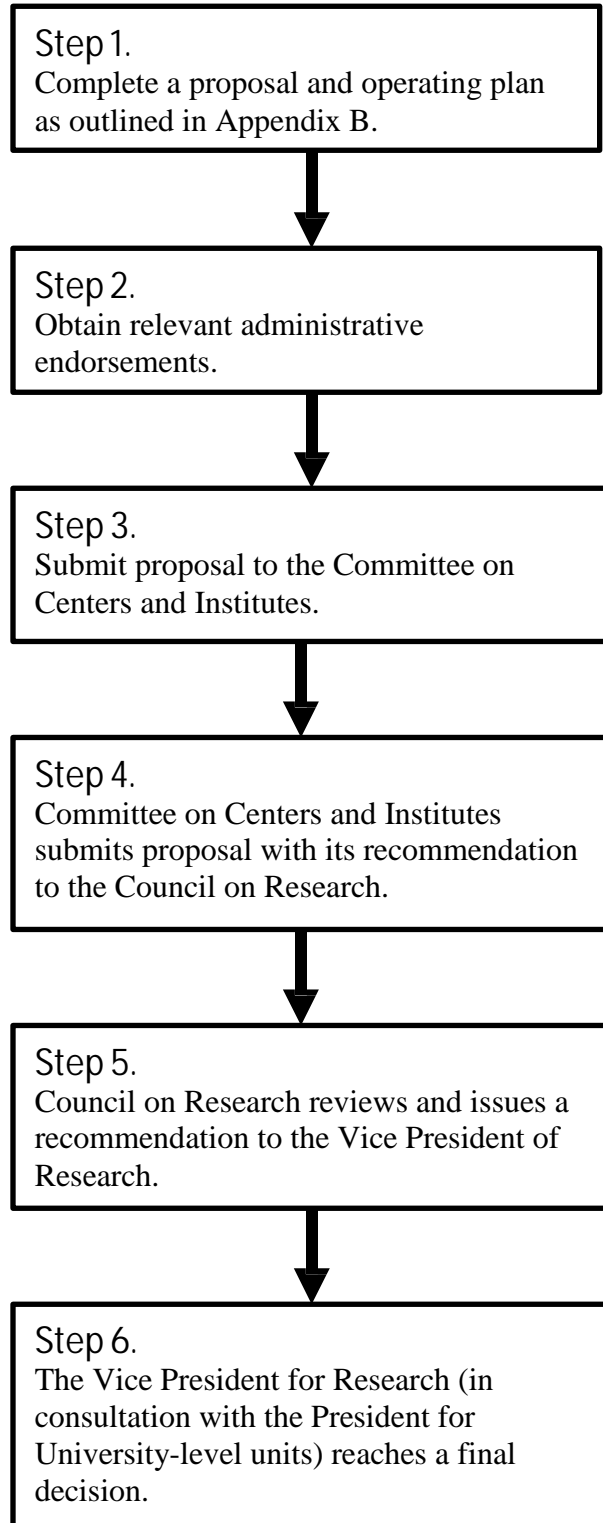
Operating Plan Outline for Organized Research Units Items to be Addressed

Title and Leadership:	<p>Name of proposed organized research unit</p> <p>Name, title, address, phone number, and email address of director or contact person</p>
Abstract:	<p>Submit a statement of the organized research unit's mission and strategic goals and describe how the planned activities relate to the stated objectives. Stress the rationale and need for the organized research unit. Discuss how the establishment of the unit will benefit the faculty associates, affiliates, and research personnel and advance the mission and strategic goals of the University and affiliated academic units. Describe how the objectives of this unit differ from that of related research and academic units noting why this unit is distinctive. Consider the relationship and possible overlap into other similar entities in the University, in the Capital Region, in the State University of New York, and in New York State. Show the impact of the establishment of this unit on existing entities and discuss the anticipated relationship to those other units.</p>
Activities:	<p>Describe the main research, outreach, or training activities in which the unit plans to engage as well as any other projected activities (e.g., sponsorship of seminars, colloquia, informal lunch meetings, newsletters, journals, exhibits, performances, etc.). Indicate whether the unit envisions collaboration with individuals or organizations outside of the University (e.g., industry, other research organizations). Include plans for further development and collaboration with other units (both on and off campus) to further the mission and goals of the unit.</p>
Organization/Staffing:	<p>Organizational chart showing all affiliated personnel (appendices should include current curricula vitae for all faculty associates, affiliates, and research staff) and the nature of their duties and supervisory relationships.</p> <p>Description of governance and reporting structure and members of advisory committee – each director should constitute an advisory committee consisting of at least five members, at least one of who should not be formally associated with the unit.</p>
Past Collaborations:	<p>Describe in what ways proposed members of the unit have been collaborating either formally or informally in the past. Information detailing specific collaboration is important to verify the viability of the proposed unit.</p>
Financial Plan:	<p>Provide an itemized accounting of all start up expenses and a plan for funding these costs. Project operating costs three years out, noting source of funding (i.e., agency, foundation, etc.), amount, and duration. Note what funding is currently available and what, if any, is required from the University and for what time frame. Discuss how the University's investment will be leveraged. Describe arrangements for unit personnel to list the unit on grant applications and on the campus impact statement so that the unit will be properly credited should these proposals be funded. Note any seed or matching funding requests and provide justifications for requests.</p>

- Other Resources:** List other resources required by the proposed unit. These may include space requirements or special facility needs, special collections of books or journals, computer support, laboratory equipment, or special collaborations outside of the University. Please distinguish between one-time start up needs and on-going needs. Describe plan for moving toward self-sufficiency.
- Educational Mission:** Describe how the proposed unit fits with the educational mission of affiliated academic units and the University. Note the nature of student and postdoctoral involvement. Discuss plans for any continuing education courses, exhibits, performances, or colloquia and seminars to be organized. Indicate any plans for unit personnel to teach in affiliated departments.
- Service Mission:** Describe any outreach activities with the profession and community.
- Evaluation and Review:** Indicate the criteria by which the unit will evaluate its effectiveness (e.g., number of publications with the unit listed as the affiliation, number of conferences sponsored, number of patents or copyrights obtained, number of grants submitted and received, number of students trained, seminars held, exhibits or performances, etc.).
- References:** Please note any similar types of endeavors you are aware of that exist at other universities. Letters of endorsement from the relevant department chairs and deans accompany the proposal to the Committee on Centers and Institutes.

Appendix C

Flowchart on Approval Process for Organized Research Units



Appendix D

Evaluation Outline for Organized Research Units

- I. Type of organized research unit
 - A. Statement of mission and strategic goals and how these relate to the University's mission and strategic goals
 - B. Historical summary and background of unit since inception
 - C. Description of outreach/service activities
 - D. Sponsored funding profile by year for the previous five years (or since inception)
 - E. Leveraging of University investment.

- II. Quality Assessments
 - A. Description of current research projects, including a list of unit participants and the level of external funding by project area (cite funding sources, level and duration of support)
 - B. Statement on the relationship of current research projects to unit's mission and goals
 - C. Summary of outcomes for each research project area for the previous five years or since inception, fully citing achievements in at least the following categories:
 1. articles
 2. monographs
 3. books
 4. working papers
 5. conference papers
 6. conferences sponsored
 7. exhibits
 8. performances
 - D. Evaluative statements on the reputation of the unit and its personnel, specifying the indices used for these judgments (e.g., commentary on unit in professional journals, center personnel service on national review panels, election as officer/fellow in professional societies, journal editorship)
 - E. Description of collaborative research activities undertaken with other organized research units or external organizations
 - F. Summary of future research plans and goals as well as funding projections for planned activities (cite anticipated funding sources and level of support requested, probable principal investigators, anticipated submission dates)

- III. Associates, Affiliates, and Research Staff and Administrative Structure
 - A. List of associates, affiliates, and research staff of the unit (include in appendix all current curricula vitae)
 - B. List of other affiliated personnel and the nature of their connection to the unit
 - C. Description of current governance and administrative structure of unit
 - D. Plans for further development of associates, affiliates, and research staff, as well as planned collaboration with other units (both on and off campus) to further the mission and goals of the unit

- IV. Resources and Facilities
 - A. Detailed summary of the resources available to the unit, showing the percentage of those resources attributable to University support and those attributable to external funds received by the unit
 - B. Summary of the facilities available to the unit (including square footage)
 - C. Description of other available support services integral to the activities of the unit (e.g., special collections, other laboratory equipment, computer facilities)
 - D. Resource implications (if any) for proposed new areas of research activity
 - E. Evaluative commentary on resources and facilities

- V. Relation to Educational Mission
 - A. Number of adjunct appointments to academic departments held by unit professional research staff
 - B. Involvement in undergraduate or graduate training in the following categories:
 - 1. Number of undergraduate students working/supported
 - 2. Number of graduate students supported on unit research grants
 - 3. Number of post-doctorates and their funding sources
 - 4. Number of dissertations on center-related projects directed by unit professional research staff
 - 5. Courses taught by unit professional research staff
 - C. Description of other collaborative activities undertaken with academic departments

Appendix E

Statement for Policy Amendment Provisional Establishment of Centers and Institutes

The Office of the Vice President for Research has identified the need to quickly establish organized research units (ORUs) where external funding opportunities may be jeopardized by the time constraints surrounding the established procedures as outlined in the Policies & Procedures for Establishing, Operating, and Reviewing Organized Research Units (revised 4/26/02).

The established process will remain in effect for all cases where external funding is not in jeopardy. In special circumstances, the Vice President for Research or President may grant extensions of provisional status for an additional one-year period.

The provisional process is as follows:

1. Establish major initiative or project.
2. Obtain the Vice President for Research or President's approval for provisional recognition as a UAlbany organized research unit.
 - a. Director-to-be meets with the Vice President for Research or President at the outset to define expectations and goals for the first year of the ORU's performance.
 - b. The Vice President for Research or the President confers with the Council on Research or its Chair regarding the request for provisional status, prior to the President's or Vice President for Research's decision.
 - c. The Vice President for Research or President notifies the Council on Research and the director-to-be that a request for provisional recognition has been granted or denied provisional status.
3. Apply for formal recognition as an ORU through the Council on Research.



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