Guidelines and Application Instructions

University Research Challenge Fund – 2017

Deadline: December 7, 2016

I.   **Background**
The University Research Challenge Fund (URCF) supports faculty-initiated research on a competitive basis and is administered by the URCF Advisory Committee, composed of senior faculty reflecting a cross-section of disciplines at the University. Since the Fund's inception, the Committee has made 749 awards.

The purpose of the Fund is:

- to serve as an incentive for investigators to explore new areas of research that are likely to attract outside support;
- to support those engaging in productive scholarship in areas where there are few sources of support.

II.   **Highlights**

- Most awards will not exceed $15,000. A few larger awards may be considered if there is compelling justification. Requests for funding should in no case exceed $18,000.
- Application instructions follow. Please read the instructions carefully. Proposals for the 2017 competition will be submitted using NYU's system of record for proposals and awards, Cayuse SP.

III.   **Eligibility**
All tenured and tenure track faculty in any academic discipline represented at the University, exclusive of the Medical School, are eligible to apply as Principal Investigators (PIs). Full-Time Non-Tenure Track/Contract Faculty, as defined in the Faculty Handbook, are also eligible to apply if they have been granted PI status and have their Dean's approval to commit time on grant.

Procedure to request Principal Investigator status can be found here. The request for PI status must be submitted with the approval of the department chair and the dean. Such approval/status must be obtained before the RCF application preparation and submission. If PI status is not in place at the time of the application deadline, the proposal will be returned without review.

Only one proposal per PI will be accepted. The URCF Advisory Committee is particularly interested in receiving proposals from new investigators; however, proposals from established investigators exploring new directions are also welcome.

Proposals for collaborative, interdepartmental, and/or inter-school research are particularly welcome. Please note that awards for projects involving collaboration with institutions outside of NYU are to be used to support the NYU component of the project *only*. Those seeking URCF support for projects already funded by external sponsors will only be considered in exceptional circumstances, which must be fully explained in the proposal.

The URCF is not meant to provide ongoing support. Repeat applicants will have a lower priority for funding and award recipients for the 2016 round should refrain from applying. Applicants who received URCF award(s) in the last five years must include, where indicated, a brief statement as to its outcome, indicating whether or not it led to external funding.

Unrevised resubmitted applications from previous URCF competitions will not be accepted nor will those from PIs who have failed to fulfill the reporting requirements of a previous URCF award.

IV.   Categories of Proposals

The URCF Advisory Committee has established the following categories of support:

Category 1. Proposals which require start-up funds and have a high probability of eventual funding from external agencies. These proposals will usually be new projects, be in fields new to the investigator(s), or support new investigators. If related to existing projects, proposals may be for the exploration of new ideas or new directions. Matching funds may be requested to demonstrate the University's commitment to a proposal planned for submission to an external sponsor so long as the school and department also expect to contribute to the match.

Category 2. Proposals from disciplines where the expectation of additional external support may be limited (such as the humanities, social sciences, or critical/ theoretical/ historical studies in the arts). Because URCF support is granted for only one year, proposals should focus on:

   a. Research to permit completion of a monograph, full-length work, or other scholarly production (e.g., film, script); or
   b. The initial phase of a new research area.

The foregoing categories are not prescriptive. These guidelines are intentionally broad and investigators should not feel limited by the kinds of constraints frequently set by external funding agencies.

V.   Review Criteria

The criteria include:

   1. Impact on the field(s) of research
   2. Impact on the career of the investigator(s);
   3. Impact on colleagues in the department, school, University;
   4. Methodology;
   5. Budget
   6. For Category 1 proposals: Prospects for funding.

VI.   Proposal Process
   Proposal Assistance

Questions about submitting a proposal or revising a previously submitted one should be addressed to Project Officers in the Office of Sponsored Programs (x82121) well before the deadline.

VII.   APPLICATION COMPONENTS AND INSTRUCTIONS

PLEASE READ ALL DIRECTIONS BEFORE COMPLETING AN APPLICATION.

Applications should be submitted <u>via Cayuse SP.</u>   See instructions to complete and submit the application via Cayuse SP. <u>IMPORTANT</u>: You must be registered to use Cayuse SP. Once you are registered, access to Cayuse is via NYUHome's Research tab. If you have not previously used the Cayuse system or are not yet registered in the system, please click <u>here</u> to start your registration. Upon completing registration, you will be instructed to complete a "Professional Profile" in Cayuse 424. The instructions to complete the profile are emailed upon registration. Use **Mozilla Firefox as your browser**.

For all applications:

Documents should be prepared using Arial 11 point type with 1 inch margins Text may be single spaced.
Applications <u>must adhere to the page limitations</u> outlined in these instructions. Do <u>not</u> include any supplemental information, such as articles or a more detailed project description. This information will not be reviewed.

- No appendix material is allowed.
- Write clearly and concisely for an educated lay audience.
- Avoid jargon, and spell out acronyms when used for the first time.

The following <u>6 application components</u> must be provided. The complete proposal should be assembled as one continuous .pdf document and uploaded under the section provided for attachments in Cayuse SP.

Component 1. Project Narrative **-** The Project Narrative consists of the following:

   a. Abstract and Project Statement **(1 page)**
   b. Project Description **(3 pages)**
   c. Literature Cited **(1 page)**

a) Abstract and Project Statement (1 page)

   Abstract: Answer some or all of the following questions and indicate on top whether you are requesting support for Category 1 or Category 2:

   - What is the goal of the project (what are intended accomplishments)?
   - What are the project objectives (what is the desired outcome(s))?
   - What is the anticipated impact on the field?
   - What is the anticipated impact on the PI/Co-PI's research or that of others?

   Project Statement:

   - Under which URCF Category of Support does this proposal fall (1 or 2)?
   - How does this proposal relate to the interests of the URCF?

- Once the research is completed, how will the results be used?
- What are the plans, if any, for seeking external support?
- If the project has been funded by an external sponsor, please be very clear why URCF support is needed to advance the research.

b) Project Description (three pages including any pictures, figures or tables)
The three page description of the planned research. Provide answers to some or all of the following questions:

Program Overview and Design:

- What are the project's scope, size and components?
- What methodology will you employ?
- What is the project's duration and timeline?

Present State of Knowledge:

- What impact might the project have on the progress or state of knowledge in this field?

Collaborations:

- **How might the project benefit from and affect the research of colleagues at NYU or outside NYU?**

c) Literature Cited (1 page)
Include citation in the style/format of the proposal discipline

Component 2. Supporting Letter

Each submission to the URCF must be accompanied by a brief supporting statement from the department chair, dean, or director (or his or her designee). The letter should be explanatory in nature, not simply a standard endorsement, describing, for example, the proposal's relevance to departmental or school plans for advancing research and education, and assessing the project's prospects, if any, for future external support.

Component 3. Curriculum Vitae **(2 pages per person – PI and Co-PI's only)**

A biosketch prepared in NSF or NIH format may be used. If the PI and Co-PI's do not have biosketches prepared for either of these agencies, please create CV's including the following elements:

- Education/Training – (Degree/Year/Field of Study/Institution/Location)
- Research & Professional experience – (Dates/Institution or Employer Name/Position)
- Funding History – (List Proposals submitted/awards received during the past 3 years)
- Publications – (up to ten)

Component 4. Current & Pending Support

- Identify sponsor, project title, role on the project, project period, and total amount. (Approximations are adequate.)

- Mark type and items as appropriate; provide additional information, if applicable.
- Report all institutional sources of support, including start-up funding and summer salary provided by the school or department.
- **Should this or a similar proposal be submitted to, or awarded by, an external sponsor or another NYU competition after the URCF deadline, you must send a memo to the URCF Advisory Committee so stating and describing the technical/financial overlap. You will be contacted prior to the committee meeting to provide updated current and other support.**

Provide other support information in the format requested below for all current and pending support for PI and any Co-PI.

__ PI   __ Co-PI (identify):

Sponsor:
Project Title:
Project Period:
Total Award: $ Role on Project:

Type: __ External   __ Startup   __ School/Dept Funding   __ Other (identify)
Status: __ Active   __ Pending   __ Planned
Does this project overlap with the proposed URCF?: __ Yes   __ No
If 'yes', how?:

Component 5. URCF Support (1 page per person)

- Indicate whether or not PI or Co-PIs have received a URCF grant in the last five years.
- Fill in remaining information, if applicable.

Provide this information only if the PI or any Co-PI has received research support from their URCF and/or the ERCF within the last 5 years. Use the format below for each award.

__ PI   __ Co-PI (identify):
What type of grant did you receive? __ URCF   __ ERCF
Award was received by: __ PI   __ other key person (identify):
Year awarded:
What were the research products?__book   __publication   __production   __other
Describe:

Did this award lead to external funding? __ Yes   __ No

Was a "progress report" submitted for the previously awarded URCF support? __ Yes   __ No

Component 6. Budget & Justification (see Budget Form)

- Specific constraints:
  - Summer salary is allowable for beginning faculty only, and is granted on a limited basis, in most cases for a maximum of one month. (Tenured associate and full professors and all code 103 employees are ineligible for summer salary.) Academic year salary is not permitted. **It is assumed that assistant professors in units providing summer money will go to those sources for their support.**
  - Equipment
    - The purchase of laptop computers must be strongly justified and will be allowable on an exceptional basis only.
    - The Committee will consider requests for cost sharing toward purchase of special purpose equipment where the balance may be secured from external sponsors or committed by internal sources only in those cases where the department and/or school also commits funds.
  - Travel
    - Funds requested for travel must be in accordance with NYU's travel policy.
  - Do not include indirect costs.

- Justification:
  - Explain the responsibilities of the person(s) for whom salary is requested.
  - Provide detail on travel, including destination(s) and relation to proposed project.
  - Explain briefly ALL other-than-personnel-services (OTPS) expenses.
  - Any cost items not obviously necessary to the success of the project may be deleted by the Committee if not carefully justified.

REVIEW PROCEDURES

Proposals will be reviewed by the URCF Advisory Committee members, who may also seek comments from other colleagues from within or outside the University. The proposals and reviews form the content for the Committee's decision-making. The Advisory Committee makes a comprehensive evaluation of each proposal, identifying those they believe to be most meritorious. Decisions (fund/not fund) are expected to be made in mid-May and will be conveyed to applicants and school/departmental officials.

AWARDS

Awards for an 18-month period starting no earlier than June 1, 2017. Once the award is acknowledged, and conditions set forth by the URCF Advisory Committee are accepted, an account is established by the Controller's Division.

REPORTING

All award recipients are required to report on the outcomes of their research. These reports support the continuation of this funding mechanism, which facilitates research and helps to generate larger research initiatives on the part of the faculty.

If you have any questions about the procedures or forms, please email urcf.info@nyu.edu.