

**James H. Zumberge Faculty Research & Innovation Fund**  
**2010 Zumberge INDIVIDUAL Research Grant Application**  
**Application Deadline: WEDNESDAY, JANUARY 20, 2010**



**Zumberge Individual Research Grants:**

The primary purpose of the individual awards program is to help our junior colleagues and new faculty launch their scholarly research careers. It does so by providing grants that assist faculty in developing sustained research programs and/or serve as a stepping stone to external funding agencies for faculty that do not already have significant sponsored research programs.

The secondary purpose of the individual awards program is to support faculty who work in fields where external funding opportunities are limited. These awards support faculty in undertaking research that would not otherwise be carried out due to a lack of non-USC grant sources in the investigator's area of scholarship.

To achieve these goals, a Zumberge Fund individual award provides up to **\$25,000** in research support. The Zumberge Fund individual award includes a second component: Assistant faculty may, at their option, add a formal mentoring element to their project. Senior faculty who serve as research mentors and carry out a set of activities in support of the awardee's project, outlined in the proposal, will receive **\$2,000** for their discretionary use.

**Faculty in the humanities, arts, and social sciences** should determine their eligibility for Advancing Scholarship in the Humanities and Social Sciences research awards, and apply to that program if eligible rather than the Zumberge Individual Program. Information can be found at: [www.usc.edu/hssrfp](http://www.usc.edu/hssrfp).

**Eligibility for Research Grants:**

There are two types of Zumberge individual awards. Applicants may designate their proposal under either category for which it fits the criteria, or under both categories if eligible to do so.

**Category One:** *Assistant professors or new faculty.* To be eligible, faculty must be of the rank of assistant professor of any type (excluding visiting faculty) or a new faculty member of any rank or type (excluding visiting faculty).

**Category Two:** *Limited External Funding Opportunities.* Faculty of any rank may apply. To be eligible, proposed research must be in areas where sponsored research from extramural government and philanthropic sources are minimal or do not exist

**Other Eligibility Requirements:**

**Faculty Rank.** Applicants must be permanent, full-time faculty at USC at the start of the award period. Applicants who are not currently permanent faculty but expect to have a permanent appointment at the start of the award period should include a brief letter from their department chair or dean indicating the pending appointment. Research faculty are eligible. Tenure track and non-tenure track faculty are eligible. Individuals who are visiting faculty at the start of the award period are *not* eligible to apply.

Other USC Programs. Faculty in the humanities, arts and social sciences who are eligible for the Advancing Scholarship in the Humanities and Social Sciences research grant program [ [www.usc.edu/hssrfp](http://www.usc.edu/hssrfp) ] must apply to that program rather than the Zumberge Fund Individual grant program.

Current Research Support Limits. Faculty who already have a significant funded research program are not eligible. Faculty who have received significant internal support – in the form of faculty research start-up packages, ongoing laboratory support, or other research awards – and/or have secured major external sponsorship do not qualify for the Zumberge individual award competition.

Specifically, faculty who hold start-up, research or gift accounts with a combined total in excess of \$100,000 in unexpended funds at time of application are ineligible to apply for funding. Among eligible faculty, prior funding and potential for future external funding will be an important consideration in making awards, with priority given to awards that make an appreciable difference in faculty research potential.

Previous Provost's Research Grant Award Recipient. Faculty who received an individual award from a Provost's Faculty Research Grant competition in the last three years are not eligible (i.e., faculty who had an award active in AY2007-08 or later). These include: A prior ASHSS award; a Zumberge Individual Award; or serving as the principal investigator on a project awarded a research grant for a Provost's Research Initiative competition such as the Immigration and Integration Initiative.

#### **Types of Assistance:**

- Research materials;
- Small equipment required for the proposed research;
- Salary support for graduate student RAs;
- Other student wages;
- Travel funds, including foreign travel, to complete research which promises to lead to publication, performance, or exhibition;
- Travel to conferences and registration;
- Assistance with publication where grants will not cover page and plate charges;
- Salary for applicant, during the summer up to \$5,000, plus fringe benefits.

#### **Grant Conditions:**

- Faculty are urged to seek support from external sponsors concurrently and not rely exclusively on the James H. Zumberge Fund.
- The James H. Zumberge Fund is not intended to supplement currently funded efforts or to provide interim bridge funding.
- Awardees have discretion in the budgeting and rebudgeting of funds to meet their research needs within the general guidelines of the fund and the terms of the proposal; however, funds may not be transferred to another project.
- Permanent equipment required for the conduct of a research project, and purchased with James H. Zumberge funds, becomes the property of the University.
- Awards will include fringe benefits, but awards are not assessed indirect costs.
- Awards are not transferable to other institutions.

#### **Faculty Mentor Criteria and Activities:**

Applicants under Category One may include a faculty research mentoring component in their proposal. A well-considered and substantive research mentoring plan that promises to strengthen the applicant's project will be

considered in the evaluation of the proposal by the Zumberge Fund. Any full-time USC faculty member at the rank of Associate Professor or above of any type may serve as a mentor. Faculty mentors may support the applicant's research through activities including:

- Identifying prior and current scholarship and research related to the project;
- Assistance in preparing the research design and executing the research activities;
- Arranging forums for the presentation, dissemination, and/or critique of the applicant's research;
- Identifying potential publication sources and assisting in the preparation and submission of articles and manuscripts;
- Establishing linkages between applicant and other investigators at USC and at other institutions who are conducting research on the same or similar topics;
- Identifying potential funding sources and assisting in the preparation of grant proposals to external funding agencies.

### **Research Proposal Evaluations:**

Research proposals submitted to the James H. Zumberge Fund are evaluated by interdisciplinary faculty panels. Normally, the reviewers will be USC faculty members, but when the necessary expertise does not reside on campus, external reviewers may be used. The panels advise the Vice Provost for Research Advancement on which proposals merit funding and at what dollar amount. Because of limited resources and intense competition, not all proposals can be funded and some will be funded for less than the requested amount.

In reviewing research grant requests, the faculty panel will consider:

- (a) The significance and originality of the proposed scientific research or artistic product;
- (b) Evidence that the project can be completed as proposed;
- (c) The impact of funding on investigator's ability to initiate scholarly research;
- (d) The likelihood that the project will lead to external funding, where appropriate;
- (e) The likelihood that the project will lead to a sustained program of scholarly research (whether externally funded or not);
- (f) Appropriateness of budget for proposed research, scholarly activity or artistic production.

### **Notification and Term of Award:**

In the event of a favorable panel recommendation, and approval by the Vice Provost for Research Advancement, faculty members will be notified of the amount and conditions of the award in April of 2010. Copies of the notification of the award will be sent to department chairs and deans.

*Funds will not be available for expenditure before the fiscal year beginning July 1, 2010, and will expire as of June 30, 2011. No-cost extensions are available at the discretion of the awardee's Dean.*

### **Reporting and Acknowledgement of Support:**

Awardees are asked to submit a brief report (including an accounting of expenditures and any external support received) within 60 days of the termination of the grant year (by August 31, 2010). A formal request for a final report will be sent to awardees at the close of the grant period.

In addition awardees will be asked to provide brief reports of publications, grants, and research progress in the two year period after the grant. These reports will be reviewed and portions of the report may be reprinted to

build support for the fund among the university community and to make decisions about how best to use the fund to promote productivity in the future.

*Any publication or creative endeavor arising from work supported by the fund should acknowledge the James H. Zumberge Faculty Research and Innovation Fund at the University of Southern California. Copies of publications should be submitted to the Office of the Vice Provost for Research Advancement.*

<b>Further Information and Program Contact Information:</b>
---

This application form can be downloaded in both MS Word (.doc) and as an interactive Adobe Acrobat (.pdf) at the Zumberge Fund website, [www.usc.edu/zumberge](http://www.usc.edu/zumberge). A listing of previous awardees can also be found online.

For additional information or inquiries about the Zumberge Award program, please contact:

Justin Pearlman  
Assistant Vice Provost  
Office of the Vice Provost for Research Advancement  
CUB-325  
Mail Code: 0706  
Email: [pearlman@usc.edu](mailto:pearlman@usc.edu)  
Phone: 213-740-6709

**James H. Zumberge Faculty Research & Innovation Fund**  
**2010 Zumberge INDIVIDUAL Research Grant Application**  
**GUIDELINES**



**PROPOSAL GUIDELINES:**

All proposals should be in a standard font (e.g., Times New Roman, 12 point), single-spaced, with one inch margins. Proposals should contain the following elements.

1. Abstract. (One-half page or less.)

Describe the primary objective of the proposed research, the key components of the research design or scholarly activity, and its significance in general terms.

2. Project Proposal. (Up to 5 pages, single-spaced. **May not exceed 5 pages.**)

A. *Research Question or Project Objective*

Specify your research question(s), hypotheses, or aims of your project. Describe the project's design and placement in the literature of the field. Describe the role of a faculty mentor, if applicable. Proposals should be addressed to a broad audience of reviewers who may not be from the same discipline. It should be clearly explained why your questions/hypotheses or the aims of your project are significant and original, and the ways in which your project will provide novel and important insights.

B. *Research Methods*

Describe the research activities to be carried out under the Zumberge Award. State your research design, and explain how it will allow you to address the question(s) and hypotheses of interest. Explain what obstacles you might encounter and how you might overcome these.

C. *Expected Results and Impact on Long-term Research Program*

Describe the expected outcomes and deliverables from your research. Explain how the project and its findings are part of, or will help lead to, a sustained research program that will generate scholarship beyond the period of the award.

D. *Opportunities for Attracting External Funding*

If appropriate, describe how scholarship supported by a Research Grant can help to secure subsequent external funding, and include references to specific funding agencies, foundations, or programs. Describe what research steps or outcomes need to be achieved in order to be competitive for these opportunities.

E. *Timeline*

A timeline for the completion of the work should be included in the application. Work is not required to be completed within one year, although financial support is limited to one year. If work extends beyond one year, there must be a clear deliverable prior to the end of the first year.

3. Bibliography. (One-half page or less.)

A bibliography is neither required nor encouraged; however, if the applicant views it as necessary, it should be limited to less than one-half page.

*No other ancillary text, appendices, etc., will be accepted.* All substantive descriptions of the project (including tables, graphics, etc.) must be contained within the proposal itself.

4. Sources of Support. (Up to two pages.)

On a separate page, list *all* other sources of internal and external support awarded during the past three years or pending, including start-up funding, both as PI or co-PI. For each, give the title, period, amount, sponsor, and describe the relationship of each to the current proposal. Statements of sources of support will be verified by the Office of Research Advancement. Failure to list sources will be a cause for rejection. In cases in which existing funding appears to be similar to the proposed project, take special care to explain the differences.

5. Mentor Statement. (If applicable; one page or less.)

Faculty mentors must prepare a statement outlining the role they will play and the activities they will undertake on behalf of the applicant. (Mentors may refer to the activities listed in this application form). The statement should first briefly describe the relationship of the applicant's project to the mentor's own research. It should then describe specific and concrete actions that the mentor will carry out. Where relevant, the statement should provide an underlying rationale for the mentoring activities: for example, the mentor's ongoing participation in an interdisciplinary or inter-university scholarly network; or the mentor's previous experience with potential funding sources.

6. Budget Form. (One page form, plus one explanatory page.)

Provide a budget explanation on a separate page. Clarify the role of individuals for whom salary support is requested. Justify any request for salary support in terms of the objectives of the project. Explain how travel funds will be used to conduct the research. List major equipment and materials purchases, and describe how they are necessary to carry out the proposed research. No specific format is required so long as the budget and explanation contain the relevant information.

7. Vita. (Not to exceed 5 pages.)

Summary vitas should be provided, no longer than 5 pages (applicants may use any standardized c.v. format, or institutional ones such as those for submissions to NIH, NEA, etc.).

8. Signatures.

Applicants (and mentors if relevant) must type their name in the appropriate section of the application form, which indicates their agreement to comply with the terms and conditions of the Zumberge program as well as all other applicable USC policies. After submission of the proposal, the applicant's dean will review the application to ensure that the applicant's school can support the use of resources and facilities listed in the proposal. If it does, then dean will approve the proposal, entering it into the pool of Zumberge applications. Dean's approval indicates acknowledgement that any overdrafts on the researcher's account will be the responsibility of the dean.

If institutional review board approval is required for the applicant's project, request for review must be initiated prior to submission and approval received prior to funding.

## **APPLICATION SUBMISSIONS:**

All proposals must be submitted on or before **Wednesday, January 20, 2010 at 5:00PM**. Applications must be submitted electronically as a single file, in either Word (.doc or .docx) or Acrobat (.pdf) format. Applications should be submitted via the Research Advancement electronic drop-box website:

[www.usc.edu/research/upload](http://www.usc.edu/research/upload)

For questions regarding the proposal submission process, please contact Alisa Gonzales at the Office of Research Advancement ([alisagon@usc.edu](mailto:alisagon@usc.edu) or 213-740-6709).

**James H. Zumberge Faculty Research & Innovation Fund**  
**2010 Zumberge INDIVIDUAL Research Grant Application**  
**COVER FORM**



**1. APPLICANT**

Name: \_\_\_\_\_

Title/Rank: \_\_\_\_\_

Department/School: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Mail Code: \_\_\_\_\_

**MENTOR (if applicable)**

Name: \_\_\_\_\_

Title/Rank: \_\_\_\_\_

Department/School: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Mail Code: \_\_\_\_\_

**2. TITLE OF PROPOSAL:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**3. AMOUNT REQUESTED:** \$ \_\_\_\_\_

**4. AWARD CATEGORY:**

**Category 1:** New Faculty

**Category 2:** Limited Funding Opportunities

**5. NECESSARY REVIEWS:**

- Human Subjects: *Institutional Review Board (IRB)*  \*Yes  No  
UPC Contact: (213) 821-5272  
HSC Contact: (323) 223-2340
- Stem Cells (Adult or Embryonic): *Embryonic Stem Cell Research Oversight Committee (ESCRO)*  \*Yes  No  
Contact: (323) 442-1607
- Vertebrate Animals: *Institutional Animal Care and Use Committee (IACUC)*  \*Yes  No  
Contact: (323) 442-1689
- Biological Agents and Regulated Carcinogens: *Institutional Biosafety Committee*  \*Yes  No  
Contact: (323) 442-2200
- Radioactive Materials: *Radiation Safety Committee*  \*Yes  No  
Contact: (323) 442-2200
- Select Agents (as identified at [www.cdc.gov/od/sap/docs/salist.pdf](http://www.cdc.gov/od/sap/docs/salist.pdf)): *Laboratory Safety Office*  \*Yes  No  
Contact: (323) 442-2200

*\* If yes, an initial request for review board approval must be made to the relevant review committee (see below) prior to the submission of this application; and approval to conduct the research must be received prior to the release of award funds.*

**6. APPLICANT AGREEMENT:**

**I agree to abide by the conditions and reporting requirements of the James H. Zumberge Fund guidelines.**

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Name of Mentor (if applicable)

**James H. Zumberge Faculty Research & Innovation Fund  
2010 Zumberge INDIVIDUAL Research Grant Application  
BUDGET FORM**



Name: \_\_\_\_\_

Department/School: \_\_\_\_\_

<b>BUDGET</b>	<b>EXPENDITURES: JULY 1, 2010 – JUNE 30, 2011</b>
<p><b>1. Salaries</b><sup>1</sup></p> <p>a) Direct support for Applicant</p> <ul style="list-style-type: none"> <li>▪ Summer salary. Maximum \$5,000;</li> </ul> <p>b) USC staff or postdoctoral research assistance.</p>	
<p><b>2. Current Fringe Benefits</b> (at rate of 34%) (Applicant salary request must include fringe. Fringe for other research support varies by school; check with your research dean's office.)</p>	
<p><b>3. Other Student Wages</b> (not subject to fringe.)</p>	
<p><b>4. Materials and Supplies</b> (Itemize; include equipment costing less than \$5000).</p>	
<p><b>5. Equipment</b> (Itemize &amp; document costs; include equipment costing \$5,000 or more.)</p>	
<p><b>6. Travel and Other Expenses</b></p>	
<p><b>7. Mentor funding</b> (\$2,000 maximum)</p>	

**TOTAL** \_\_\_\_\_

<sup>1</sup>Specify time and effort to be devoted to the project

**James H. Zumberge Faculty Research & Innovation Fund**  
**2010 Zumberge INDIVIDUAL Research Grant Application**  
**BUDGET - EXPLANATORY PAGE**

