

James H. Zumberge Faculty Research & Innovation Fund
Guidelines for 2007-2008 INDIVIDUAL Research Grants
Application Deadline: January 15, 2007



Individual Research Grants:

The primary purpose of the individual awards is to help our junior colleagues and new faculty launch their scholarly, artistic, and scientific 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 content of scholarly endeavors covered by this program varies by discipline. Research includes artistic programs, development of written and visual archives and other activities considered as disciplinary research productivity.

The secondary purpose of the individual awards 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 for the first time also 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.

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 faculty 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:

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 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 Zumberge Award Recipient. Faculty who have received a Zumberge award – either individual or interdisciplinary – in the past five years are not eligible to apply.

Other Programs. Applicants may apply to other internal grant programs (e.g., Advancing Scholarship in the Humanities and Social Sciences) but may not receive awards from more than one internal program in a single year.

Visiting faculty are ineligible.

Types of Assistance:

- Research or artistic 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;
- Salary for applicant, during the summer up to \$5,000, plus fringe benefits; or for the academic year up to \$7,500, plus fringe benefits, for the purpose of course relief. (*Requests for release time during the academic year must be approved by the applicant's dean and be justified in terms of the objective of the proposed research. Summer salaries do not require special approval.*)
- Assistance with publication where grants will not cover page and plate charges.

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 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 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 March of 2007. 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, 2007, and will expire as of June 30, 2008. 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 30 days of the termination of the grant year (by August 1, 2007). 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.

**James H. Zumberge Faculty Research & Innovation Fund
2007-2008 Application Checklist for INDIVIDUAL Research Grants
(Keep this page for your records.)**

Application Submissions:

- All proposals must be submitted on or before **January 15, 2007**.
- A single hardcopy of the original application form with all appropriate signatures should be submitted to The Office of the Vice Provost for Research Advancement, ADM 300, MC 4019.
- All materials must also be submitted *electronically* in PDF format to zrif@usc.edu.

Faculty members must obtain the signatures of their department chair and dean (or authorized dean's representative), and of the faculty mentor where relevant.

These signatures indicate that the applicant satisfies requirements for submission; that necessary facilities and space are available to perform this research; that any overdrafts on the researcher's account will be the responsibility of the dean; and for projects that involve a mentor, that the mentor has committed to fulfilling his or her obligations. If the institutional review committees must approve the research, review must be requested prior to submission and approval received prior to funding.

To be considered, all proposals must include the following, and must not exceed page limits.

1. Application Form.

This form must be obtained from the USC Research website; forms can be downloaded at www.usc.edu/zumberge. Forms must be filled out, and receive the signatures of the appropriate chair, dean, and/or authorized dean's representative. All proposals should be in a standard font (e.g., Times Roman 12 point), single-spaced, with one inch margins.

2. Abstract. (one half page or less.)

Describe the primary objective of the proposed research and its significance in general terms. At least four key words should be included at the end of the abstract.

3. Project Proposal. (3 pages, single-spaced, or fewer. Proposals **may not exceed** that length.)

Applicants should include the following sections in their proposal:

A. Research Question or Project Objective

Specify your research questions(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 apparent 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. *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.

4. **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 description of the project (including tables, graphics, etc.) must be contained within the proposal itself.

5. **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.

Faculty working in under-funded areas (Category Two) should document available external funding opportunities that do exist.

6. **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.

7. **Budget Form.** (one-page form plus one explanatory page)

Provide a budget explanation on a separate page; clarify the role of any individuals for whom salary support is requested; explain how travel funds will be used to complete research; and justify the need for any equipment. No specific format is required so long as the budget and explanation contain the relevant information.

8. **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.).

NOTIFICATION OF AWARDS WILL BE SENT BY MARCH 31, 2007. Funding will be available beginning in July 2007.

**James H. Zumberge Faculty Research & Innovation Fund
2007-2008 INDIVIDUAL APPLICATION**



1. Applicant:

Name: _____

Title/Rank: _____ Date of Appointment to the U.S.C. Faculty: _____

Department: _____ Professional School: _____

University Address: _____ Bldg./Rm.# _____

E-Mail: _____ Tel: _____ Mail Code _____

Mentor: (If Applicable)

Name: _____

Title/Rank: _____ Date of Appointment to the U.S.C. Faculty: _____

Department: _____ Professional School: _____

University Address: _____ Bldg./Rm.# _____

E-Mail: _____ Tel: _____ Mail Code _____

2. Title of Proposal: _____

3. Amount Requested: \$ _____

4. Award Category: Type 1: New Faculty Type 2: Limited Funding Fields

5. Resubmission? Yes No

6. Necessary Reviews?

Human Subjects: <i>Institutional Review Board</i>	<input type="checkbox"/> Yes *	<input type="checkbox"/> No
UPC Contact: Kristin Allen – 213-821-5272		
HSC Contact: Diane Shycoff – 323-223-2340		
Warm Blooded Animals: <i>Institutional Animal Care and Use Committee</i>	<input type="checkbox"/> Yes *	<input type="checkbox"/> No
Contact: Donald Casebolt – 323-442-1689		
Human Blood, Infectious Diseases, Recombinant DNA:	<input type="checkbox"/> Yes *	<input type="checkbox"/> No
<i>Institutional Biosafety Committee</i>		
Contact: Kathryn Franssen – 323-442-2200		
Radioactive Material Use: <i>Radiation Safety Committee</i>	<input type="checkbox"/> Yes *	<input type="checkbox"/> No
Contact: Delia Aquino – 323-442-5428		

* If yes, approval of the cognizant committee(s) must be requested prior to submission, and received prior to final funding.

Applicant Agreement:

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

Applicant's Signature

Date

Signature of Mentor (if applicable)

Date

Departmental and School Endorsement:

I fully endorse this proposal and affirm the availability of the necessary facilities and space to perform this research. If funding is awarded, I will assume responsibility for any overdrafts.

Print Chair's Name

Print Dean's Name (or Authorized Representative)

Chair's Signature

Signature of Dean's (or Authorized Representative)

**James H. Zumberge Faculty Research & Innovation Fund
2006-2007 INDIVIDUAL BUDGET**



Date: _____
 Name: _____
 Department: _____

BUDGET	July 1, 2007 – June 30, 2008
1. Salaries¹ a) Summer support for Applicant (Max \$5,000), or Academic support for Application (Max \$7,500) b) Non-exempt Staff c) Exempt Staff d) Research Assistants (Graduate Students only)	
2. Current Fringe Benefits (add fringe benefits to 1. a-d)	
3. Student Wages (not subject to fringe)	
4. Materials and Supplies (Itemize; include equipment costing less than \$5000)	
5. Equipment (Itemize & document costs; include equipment costing \$5,000 or more)	
6. Travel	
7. Mentor funding (\$2,000 maximum)	

TOTAL _____

¹Specify time and effort to be devoted to the project

- Attach budget explanation (one page) to this form, along with proposal materials.
- Submit hard copy to ADM300 and an electronic PDF copy to zrif@usc.edu.