



## Guidelines: University-Wide Research Grants for Librarians

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### PROGRAM DESCRIPTION

The University-wide Research, Mini & Presentation Grants for Librarians program is a competitive program open to the members of the Librarians Association of the University of California (LAUC).

The purpose of the program is to encourage and provide funding for research projects undertaken by LAUC members. The University of California Office of the President (UCOP) allocates funds for this program. The guidelines herein are to be used solely for the preparation of applications for funds to be disbursed by the Office of the President upon the recommendation of the LAUC Research and Professional Development Committee to the University Academic Vice-President.

For examples of what has or has not been funded in the past, see [Appendix A: What Projects Have/Have Not Been Funded in the Past](#).

**NOTE:** Additional funds for research and professional development may also be available from each of the ten campus divisions, see <http://www.ucop.edu/lauc/divisions.html>. These funds are awarded according to guidelines issued by each LAUC division. Applicants should consult the guidelines prepared by the LAUC divisional research committee for application for campus level funds.

For Research Grant Application forms, see [here](#).

For Mini & Presentation Grants, see [here](#) (.doc).

### I. PURPOSE

The purpose of the program is to support research by LAUC members. Proposals will be evaluated by the criteria identified in [Section III](#) of these guidelines. Applications for University-wide funds may be used to support an individual research project, research involving more than one campus, joint support with one or more campuses of a research project, and other similar research ventures. Proposals must focus on research in library and information science including the dissemination of information; on advancement in knowledge within the broad definition of these fields; on the profession of librarianship; or on subject specialties for which the applicant is highly qualified and which would result in the advancement of knowledge in general.

**NOTE:** Projects that relate solely to operational problems unique to an individual campus **or that fall within the normal scope of departmental responsibility** are not appropriate for application to this funding program. Applicants with projects such as these are encouraged to seek funding from their campus administration, their library administration, or from other grants programs (e.g.: grants from the National Historical Publications and Records Commission, see <http://www.archives.gov/nhprc/announcement/>).

## **II. THE LAUC RESEARCH AND PROFESSIONAL DEVELOPMENT COMMITTEE**

The LAUC Research and Professional Development Committee solicits and reviews applications for University-wide research grants. The LAUC Research and Professional Development Committee is composed of a representative from each of the ten LAUC divisions. The Vice-President of LAUC serves as the Chair in a non-voting capacity except to break any ties that may occur in the review process. The Chair of the LAUC Research and Professional Development Committee is responsible for submitting its recommendations on the allocation of funds to the Office of the President and for notifying the LAUC President of funding decisions from the Office of the President.

## **III. CRITERIA FOR JUDGING PROPOSALS**

The general criteria by which applications for University-wide research grants are judged are the following:

1. Is the project research?
  - a. Is the project research or is it a project that falls within the customary scope of the work of the applicant/library that the applicant/library should be doing anyway?
2. The significance of the proposed project with respect to one or more of the following:
  - a. Its impact on library services and/or users (e.g.: Does the project relate solely to operational problems unique to an individual campus?)
  - b. Its relationship to other research or resources in library and information science
  - c. Its contribution to scholarship in any academic discipline
3. The clarity and conciseness of the proposal
4. The effectiveness of the proposed methodology
5. The appropriateness of the proposed budget
6. The relevant background, training, and experience of the applicant(s)

Proposals which do not meet the criteria specified by these guidelines will not be funded regardless of whether funds are available. Proposals from bargaining unit and non-unit members will be evaluated and ranked together to determine their relative merit. The allocation of funds to bargaining unit and non-unit members will be made separately. For examples of what has or has not been funded in the past, see [Appendix A: What Projects Have/Have Not Been Funded in the Past](#).

## **IV. APPLICATION AND REVIEW PROCESS**

### **A. ELIGIBILITY**

All members of the Librarians Association of the University of California (LAUC) are eligible to apply for funds from this program. Members of the University-wide LAUC Research and Professional Development Committee are not eligible to apply for funds for the period of their term of office on the Committee.

## **B. PRELIMINARY INQUIRIES**

The Chair of the LAUC Research and Professional Development Committee or the division representatives to the LAUC Research and Professional Development Committee will be available to advise applicants on the appropriate interpretation of written guidelines and on procedural matters.

## **C. SUBMISSION OF PROPOSALS**

Submission of proposals for University-wide Research Funds must be made through the appropriate campus division research committee.

The applicant(s) must submit two (2) copies of their proposal. One copy in paper only with any required signatures to the Chair of the divisional research committee. A second copy of the proposal must be submitted electronically as an email attachment to the Chair of the divisional research committee.

Electronic versions of guidelines and application forms will be maintained on the LAUC Statewide website for downloading and may be available on local campus servers. The electronic form may be printed out for use as the paper copy and submitted along with any required, authorization signatures. (See [Section V, Part 1](#) below for electronic form sites).

Direct applications to the LAUC Research and Professional Development Committee will not be accepted. (For procedures on the submission of multi-campus proposals see [G. MULTI-CAMPUS PROPOSALS](#) below).

Research proposals submitted to the divisional research committee may be forwarded to the University-wide Committee if judged meritorious by the divisional committee. In these instances the divisional research committee's comments and evaluations will be submitted to the University-wide LAUC Research and Professional Development Committee. For examples of what has or has not been funded in the past, see [Appendix A: What Projects have/have not been Funded in the Past](#).

The LAUC Research and Professional Development Committee may request, at its discretion, evaluations from competent reviewers **who are not members of the committee**.

## **D. FUNDING AVAILABLE**

The University of California Office of the President allocates funds to the University-wide Research Grant Program for Librarians. Funds are allocated to support research by both unit and non-unit members.

### **2010/2011 Fiscal Year allocations**

Bargaining Unit:	\$24,300.00
Non-Unit:	\$ 8,100.00

The amount of funds recommended for award will not exceed the amount available for allocation. The total funds allocated in any year will depend on the quality of the research proposals received. The University-wide LAUC Research and Professional Development Committee is not obligated to award all of the funds available if the proposals received do not meet the standards set by the Committee.

## **E. FUNDING PERIOD**

Research grants will be awarded annually according to the published schedules for submission and review and are subject to the limitations of available funding. Funds are available July 1. There are no limitations on how many times an individual may apply for funding for research projects; each proposal will be judged according to

established criteria. There are no time limitations on multi-year grant proposals; however, all projects compete on an annual basis for available funding.

## **F. DUAL-LEVEL FUNDING**

Applications may be funded in part from campus funds and in part from University-wide funds. Applicants may wish to structure proposals with this in mind.

## **G. MULTI-CAMPUS PROPOSALS**

Multi-campus proposals are eligible for consideration and will be reviewed and evaluated equally with single-campus proposals. Multi-campus proposals shall be submitted to the divisional research committees and are subject independently to each division's guidelines and criteria for evaluation. Multi-campus proposals must clearly identify either a Principal Investigator or one contact person with whom the LAUC Research and Professional Development Committee can communicate for additional information and for notification of the Committee's recommendations. The chair of the divisional research committee at the campus where the Principal Investigator or contact person is located will forward the proposal to the Chair of the LAUC Research and Professional Development Committee.

## **H. DEADLINES**

Applicants are responsible for ensuring that proposals to be forwarded to the University-wide LAUC Research and Professional Development are submitted to the chair of the divisional research committee by the division's announced deadline. The Chair of the divisional research committee is responsible for submitting all proposals to be reviewed by the University-wide LAUC Research and Professional Development Committee to the Chair of the University-wide LAUC Research and Professional Development Committee by the announced deadline for submission. So that all proposals can be given equal time for review, it is essential to meet the deadlines stated in the Call for Proposals calendar. The Committee reserves the right to not consider late proposals.

## **I. NOTIFICATION**

The University-wide LAUC Research and Professional Development Committee will forward to the Office of the President its recommendations for funding. Applicants will be notified by the Committee Chair of the final decision of the Office of the President. The Committee will notify the LAUC President and appropriate division chairs of the final funding decisions. File copies of all successful applications will be maintained in the LAUC Archives and will be made available on the LAUC website.

## **J. REPORTING**

All successful applicants are required to submit the following to the Chair of University-wide LAUC Research and Professional Development Committee:

**Annual Report** (email is acceptable) -- A concise annual report, which outlines progress and funds expended, is due at the end of the funding year (July 1). Exact requirements will be specified in a letter from the Committee Chair to each successful applicant (email is acceptable).

**Final Report** (email is acceptable) -- A final report summarizing project achievements is due within one month of the conclusion of the project. The Chair will distribute this report to each campus and the Office of the President (email is acceptable).

**Final Product** -- One copy of any product (publication, videocassette, audio recording, web site, etc.) resulting from a research project must be sent to the Chair of the University-wide LAUC Research and Professional Development Committee. The Chair will deposit this copy in the LAUC Archives. When appropriate, copies of the

product should be added (and cataloged) to a circulating collection of the local institution, as well as deposited in the UC eScholarship Repository, if appropriate.

Use the [End of Funding Period Report](#) form for both annual and final reports. Reports will be made available on the LAUC website.

## **ACKNOWLEDGMENT**

All products resulting from this program must acknowledge receipt of funds from the University of California Research Grants for Librarians Program. Proposals that also receive divisional funds must comply as well with divisional reporting requirements as indicated in the letter of notification from the divisional research committee.

## **V. PROPOSAL CONTENT AND FORMAT**

A proposal consists of the following parts:

1. Cover Sheet
2. Need for Research
3. Design and Methodology
4. Budget
5. Supplemental Budget Sheet
6. Personnel
7. Timetable for Completion

### **A. GUIDELINES**

Guidelines for each part of the proposal follow: Refer to the "Evaluation Worksheet" below for further suggestions on proposal content, keeping in mind that proposals are judged by the criteria delineated in [Section III](#), above.

#### **Part 1: Cover Sheet**

The applicant is responsible for producing a printed copy which must be used to gather any signatures that are required. A printable copy of the electronic form is available at:

- [University of California Research Grants for Librarians Program Cover Sheet](#)

#### **Part 2: Need for Research**

The research being proposed must be clearly described with information on the extent to which research has already been done on the subject, the relationship of the proposed research to prior work, and the anticipated impact or benefit. This section can include a review of the literature, a letter of support from an acknowledged expert, and/or a discussion of the value of the end product.

#### **Part 3: Design and Methodology**

The design of the project must be clearly stated, with the objectives of the project identified. A paragraph or section clearly stating the expected outcomes of the project should conclude this part of the proposal. Please be aware that the committee gives significant weight in the review process to the structure and methodology of the projected research. A method of dissemination must be indicated if the outcome of the project is a written document. A detailed statement of how the project is to be accomplished is required to evaluate the proposal and to evaluate the completed project. While an explicitly detailed statement of methodology may not be possible in the formulation of

the proposal (e.g., exact wording of questionnaires to be used), an appropriate and detailed statement will make the proposal more competitive. This statement must include data-gathering and analysis techniques, and drafts of instruments and forms. If human subjects are to be used in research, the appropriate university form will need to be submitted. The process of obtaining IRB approval or a determination of exemption from subject protection regulations does not have to be completed prior to submitting your grant proposal. However, the grant cannot be awarded without evidence that the approval or exemption has been obtained. Document in this section if computer resources are required and how they will be used to accomplish the project (include costs of computer resources in Part 4, Budget).

#### **Part 4: Budget**

Budgets must be based on the LAUC budget year of July 1-June 30.

Proposals must include a detailed line-item budget statement which explains and justifies the amount requested. This statement should be a realistic, comprehensive statement of needs. Include information on the amount and source of any funds other than University-wide research funds which have been received. (Receipt of funding from other sources will not prejudice the review of the proposal.) Substantial institutional in-kind contributions (e.g. substantial library supported photocopy or clerical support) should be itemized.

Applicants may request funds for hiring assistants, secretarial support, computing costs, equipment, supplies, travel required for collection of data or examination of materials, manuscript preparation, or other research expenses directly related to the research. Actual publication costs (printing, copy, paper costs, binding) will generally receive lower funding priority.

**Note:** Equipment and software purchased with University-wide research funds are the property of the University of California. As such they must be inventoried and managed by the division's business/systems office in the same manner as equipment and software purchased with library/campus funds. In addition, an inventory list of such equipment and software shall be sent to the University-wide LAUC Research and Professional Development Committee, and, as appropriate, be made available to other LAUC members for their use. **Applicants are encouraged to investigate available equipment on campus before requesting the purchase of new equipment.**

In so far as possible, applicants are expected to include and anticipate increases in costs which might take place in the year in which the grant is awarded. If additional funds for unforeseeable expenses are required after the initial grant has been awarded, a revised proposal with a copy of the original grant must be submitted as part of the regular funding cycle. **Additional funding is contingent upon funds remaining after initial grants have been approved.**

Applicants are encouraged to consider hiring library school students to assist in the research when appropriate. A brief description of the duties to be performed should be included in the budget statement. The level of the responsibilities should be appropriate to the proposed level of salary. Duties assigned to graduate students normally should be at the research rather than the clerical level. A description of the duties should also be provided to the appropriate school to assist in recruitment of individuals. Whether the student is awarded course credit for the work and the responsibilities of the librarian for supervision of such work will be determined on an ad hoc basis between the student, the student's professor, and the librarian. If you are considering outsourcing or delegating any part of the data gathering or data analysis to others (such as staff, student employees, or library school students) be sure to clarify how closely you will be supervising and what degree of judgment and intellectual analysis will be delegated to these individuals. We expect grant awardees to be the intellectual architects of their research and to participate fully in each stage of the research.

Librarians who plan to take leave to work on or complete their research may request funds to cover the cost of a replacement for all or part of his/her responsibilities during the leave.

## Part 5: Supplemental Budget Information Form

Use the [Supplemental Budget Information Form](#) (Word document) available from the [University of California Research Grants for Librarians Program](#) web site.

## Part 6: Personnel

The qualifications of the applicant(s) to accomplish the proposed research project will be given consideration in the review process. A statement must be included in the proposal identifying those relevant qualifications and a current vitae or resume should be included in the proposal for each LAUC member involved in carrying out the project. Vitae/resumes for successful proposals may be posted on the LAUC website as examples so use your university address, not your home address. If additional personnel are required, specifications for their qualifications must be included.

**Note:** If adjustments to work schedules, release time, or leave are included in a proposal, prior approval is required and must be indicated by including authorizing signature(s) on the printed application.

## Part 7: Timetable for Completion of the Projected Research

Anticipated completion schedules must be included. Although schedules need not be highly detailed, as a minimum applicants should include a chronology which indicates completion dates for various phases of the project.

### ***B. RESEARCH PROPOSAL CHECKLIST***

Read the [Appendix B: Evaluation Checklist](#) before submitting a research proposal to your divisional LAUC Research and Professional Development Committee chair.

Use this checklist to ensure that you have followed the directions and that all necessary information is submitted with your proposal.

1. Proofread all documents.
2. Number the pages of your proposal.
3. Obtain all necessary approvals and forms (e.g. the human subjects form, facility use signature, release time signatures). Indicate them on the cover sheet.
4. Indicate your bargaining unit status (unit or non-unit) on the cover sheet. Contact your Personnel Office if you are in doubt regarding your bargaining unit status.
5. Attach a complete vita or resume for all investigators. Vitae/Resumes for successful proposals may be posted on the LAUC websites as examples so use your university address, **not** your home address.
6. Budget information will appear in three places: the Budget Summary portion of the Cover Sheet, the Budget portion of the proposal (part 4), and the Supplemental Budget Information sheet. Double check them **and make sure they agree.**
7. Prepare your budget to align with the LAUC budget/fiscal year of July 1-June 30.
8. Make sure your timetable is appropriate for the funding cycle for which you are requesting funds. Work on the project must be done during that cycle. Funds will **not** be distributed retrospectively for projects or portions of projects completed prior to the date on which the funds are to be disbursed.
9. Describe the manner in which the results of your work will be disseminated. Some type of formal distribution of the findings is preferred.

## **VI. FUNDING DISBURSEMENTS**

**AWARDS** -- Funds are awarded on a one-year basis (July 1- June 30). It is the responsibility of the grant recipient, upon receiving formal notification of the grant award, to contact his or her local library accounting office and make arrangements for the transfer of the grant funds from the UC Office of the President as soon as possible after July 1. Contact information for the transfer is included in the award letter. Grant funds should be expended within the year of the award. Encumbered balances may be carried over for one additional fiscal year in the event that it is not possible to disburse all funds during the year of the award.

**EXTENSIONS** -- Funds not expended within two fiscal years from July 1 following the award date will revert to the Office of the President unless an extension of the project has been granted by the Chair of the LAUC Committee on Research and Professional Development. The Chair may grant one-year extensions upon consultation with the representative to the Committee from the recipient's campus, and approval by the Office of the President, as long as no additional funds are required. Requests for extension with additional funds must be submitted to the Committee as part of the regular funding cycle.

**UNSPENT FUNDS** -- Unexpended funds will, at the completion of the project, revert to the Office of the President. Upon termination of employment with the University, unexpended funds will revert to the Office of the President.

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## **APPENDIX A -- What Projects Have/Have Not Been Funded in the Past**

See also the complete list of previously funded and completed projects with links to the funded grant proposals at:

<http://www.ucop.edu/lauc/committees/rpd/recipients/recipients.php>

### **FUNDED PROJECTS**

LAUC/UCOP has funded the following types of research or research-related projects (2001/2002 - 2005/2006):

- Aivazian, Gia, "The Satirical Face of the Pre-Genocide Armenian Press in Constantinople (1908-1915) Part II" (2001/2002), (2002/2003)
- Barnes, Sherri, "African American Feminism Website: A Bibliography of Multidisciplinary Writings" (2001/2002)
- Benemann, William E. "Roscoe Pound and the Women of Berkeley: Class and Gender in American Legal Education" (2002/2003)
- Chang, Jaeyong. "The Korean Diaspora: An Annotated Bibliography and its Database" (2003/2004), (2004/2005)
- Hirsch, David G. "Bibliographic Access to Periodical Publications of Middle Eastern Groups in Western Europe and Australia" (2001/2002), (2002/2003)
- O'Hare, Sheila. "Legal Executions in California, 1821-2003" (2003/2004)
- Owen, David. "Consumer/Patient Information Resources for Phytotherapeutics" (2003/2004)
- Stephenson, Elizabeth. "Using Personal Digital Assistant Technology for Statistical Research in Health Sciences" (2003/2004)

### **REASONS FOR NOT FUNDING**

LAUC/UCOP may not fund proposals with planning, preparation, or justification problems, for example, those:

- which seem more appropriate for local funding

- which lack focus or are vague or unclear
- which do not include a literature review
- which lack clear information on the degree of support from the library and any other relevant institutions, organizations or groups
- for projects which seem to fall within the applicant's on-the-job responsibilities
- which do not fully explain the applicant's decision-making process re the research topic and its various elements, including visits to particular institutions
- which do not seem to add to the general body of knowledge regarding the subject area(s)
- which are unclear on the impact a project would have on library services and users, or on the body of existing knowledge or theory described in the proposal, and the project's relationship to other currently available resources
- with questionable timelines--too short to complete a project, or so long that the research would be out of date
- where it is not clear how the results of research will be disseminated
- which seem to request excessive funds for the project
- which lack specific information about proposed expenditures
- which lack supportive information and evidence justifying the need for travel, computer equipment, research assistance at a particular level and for a specific duration, as well as release time at a particular level and for a specific duration

## **WILL NOT BE FUNDED**

LAUC/UCOP has not/will not fund the following:

- Proposals which are missing any necessary approvals (signatures)
- Proposals for individual or multi-campus projects which are not substantially research in nature
- Proposals for digitizing that do not make a compelling case that the digitization process itself is the subject of the research
- Proposals for preservation and/or microfilming that do not make a compelling case that the process of preservation/microfilming itself is the subject of the research
- Data entry projects
- Proposals to do the normal, customary work of a library unit, section, department, or individual
- Proposals for planning meetings among individuals involved in projects, especially if they already have established venues for meeting times and places
- Proposals for travel and lodging which could be funded through local R&PD funds
- Funds to pursue a degree
- Lab work, unless it supports an underlying research project
- Honoraria, unless they contribute to the research aspects of a project
- Publishing fees
- Consultants or researchers outside the Librarian series
- One or more of the grant applicants is currently a member of the LAUC Statewide R&PD Committee

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## **Appendix B -- Evaluation Checklist**

The LAUC Research and Professional Development Committee will review your proposal with the following categories and questions in mind. While not every question will apply in each case, applicants are encouraged to construct their proposal to address all that are relevant.

### **Part 1: Cover Sheet**

- Does the abstract include a summary of each section of the Proposal (except the budget)?
- Have all the necessary approvals/signatures been obtained?

### **Part 2: Need for the Research Proposed**

- Is the proposal for a project that will add to the total body of knowledge, increase understanding, or improve services in librarianship, information science, or other academic disciplines?
- Why is the project needed?
- What long-term intellectual and/or economic benefits can be derived from it?
- How does the project relate to research that has already been done in the area?
- What will it accomplish?
- How will the proposal affect the profession of librarianship and information science?
- Will the results interest a meaningful audience or serve a particular group of library users?

### **Part 3: Design and Methodology**

- Have project goals been well conceptualized and well presented?
- Is the outcome of the study clear?
- Are project objectives realistic and clearly defined? Will the methodology achieve the desired outcomes? Does the design permit the evaluation of achievement of project goals?
- Is the methodology practical and logical? Have the correct questions been asked?
- Has the applicant proved familiarity with the field; has the appropriate background research been done?
- Have all the procedures been fully described?
- Are the concepts original and innovative?
- How will the results be disseminated to reach appropriate audiences?

### **Part 4: Budget**

- Is the budget sufficiently detailed to justify funding requests?
- Is the budget realistic and appropriate to fund the tasks described?
- Have all anticipated expenses been included?
- Have possible alternatives to purchase of needed equipment been explored?
- If additional funding from other sources has been obtained, is this indicated?
- Have appropriate University rate schedules been used?
- If the proposal spans fiscal years, have salary range adjustments and material cost increases been included?
- Does the Cover Sheet Budget Summary give a complete overview of proposed expenditures of funds? Does it match the information covered in this section of the Proposal and in the Supplemental Budget Information form?
- Does the proposed budget reflect the LAUC fiscal year budget of July 1-June 30?

### **Part 5: Supplemental Budget Information Form**

- Does the budget information included on this form match the information provided in part 4 of the Proposal and the Cover Sheet Budget Summary?

## **Part 6: Personnel**

- Are the skills and training of personnel appropriate for the projects?

## **Part 7: Timetable for Completion**

- Is the timetable realistic?
- Is the sequence for completion logical?
- Is there adequate time for completion of each stage of the project?

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*Revised October 2009*

UNIVERSITY WIDE RESEARCH GRANTS FOR LIBRARIANS

<http://www.ucop.edu/lauc/committees/rpd/resguide-rev.html>