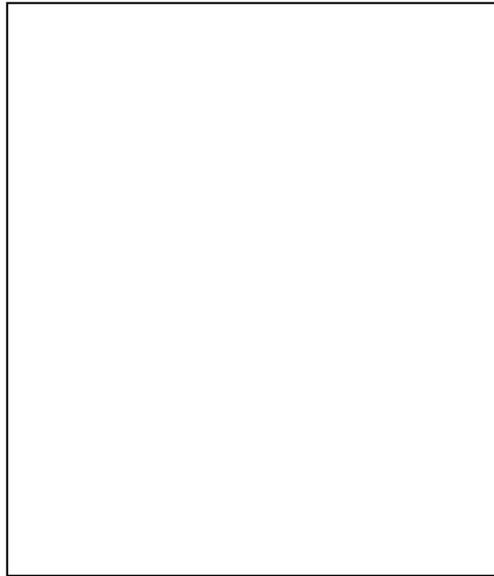


# GRFC Guidelines



POLICIES AND APPLICATION PROCEDURES GOVERNING THE DISTRIBUTION OF  
MONIES ALLOCATED FOR GRANTS AND RESEARCH, ADMINISTERED BY THE

**GRANTS AND RESEARCH FUNDING COMMITTEE (GRFC)  
OF THE FACULTY SENATE**

SOUTHEAST MISSOURI STATE UNIVERSITY

**2006**

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## **GRANTS AND RESEARCH FUNDING COMMITTEE (GRFC)**

### **PHILOSOPHY**

The goal of the Grants and Research Funding Committee is to encourage the growth of scholarly and creative activity at Southeast Missouri State University. Scholarly and creative activity is understood to include scientific and humanistic research, as well as literary or artistic projects related to academic or professional disciplines.

The rationale for encouraging scholarly and creative activity at a regional institution with a primary commitment to teaching is threefold:

First, because many of the programs and courses offered by the University cover advanced skills and sophisticated material within disciplines that are constantly growing and developing, effective teaching requires that faculty maintain an active interest in their respective areas. Activity in research and creative endeavors is the most direct evidence of knowledge in one's discipline.

Second, because instructors at the University stand before students not only as teachers, but also as representatives of the disciplines whose subject matter they teach, it is desirable that faculty maintain professional levels of performance within their fields. Typically, it is through research, scholarship, and other creative activities that professionalism is sustained and reviewed.

Third, since an important part of the University's educational mission requires that it serve as an educational resource for the region at large, it is necessary to maintain a faculty whose members can speak authoritatively within their chosen disciplines and who are themselves engaged in assimilating and generating information, as well as developing and maintaining skills relevant to their fields. It is scholarly and creative activity which best identifies and sustains the University as a regional educational resource.

It is therefore precisely because of the University's unique educational mission--because it is an institution of higher learning whose faculty are learners as well as teachers--that scholarly and creative activity is to be encouraged.

The Committee is particularly interested in recommending funding for initial projects, projects which may lead to outside funding, and projects for which outside funding is not available.

**APPLICATION PROCEDURES FOR PROPOSALS  
SUBMITTED TO THE  
GRANTS AND RESEARCH FUNDING COMMITTEE**

**Part One: General Information**

This part presents general information which should be carefully noted prior to the preparation of a proposal. It addresses eligibility criteria, amounts recommended, title to materials purchased with GRFC funds, and patent and copyright concerns.

**I. Eligibility of Proposals**

A. Eligible projects

1. A research project or objective inquiry into fields of human interest, which expands knowledge of humanity, its institutions, and its physical world by a recognized research method, is eligible.
2. A creative project or imaginative work in any acknowledged area, such as the visual arts, music, or literature, is eligible.

B. Ineligible projects

1. Research intended for completion of degree requirements is ineligible.
2. Projects involving program/course development and/or implementation are ineligible.
3. Administrative projects are ineligible.

**II. Eligibility of Personnel**

A. Eligible personnel

1. All members of the full-time University Faculty on the Southeast Missouri State University campus payroll are eligible, except those who have received funding from GRFC for four proposals investigating the same general line of research without having submitted a grant or contract proposal to an outside funding agency. Outside funding may include grants or contracts received for research or service projects, and gifts to the university in the form of funds or equipment. The amount of the grant, contract or gift must be comparable to the amounts previously awarded by or currently sought from GRFC.

Funds may be allocated without an attempt to obtain external funding in the rare event that no appropriated funding source is available. If the efforts of proposer, working in conjunction with the Director of Grant Development, fail to locate potential funding sources, a letter from the Director of Grant Development attesting to the absence of appropriate funding sources must be attached to the proposal.

2. Prospective new faculty members, contingent upon their appointment to the academic faculty, are eligible.
3. Staff members at levels comparable to those of academic faculty are eligible.
4. Grant applications from individuals with active GRFC grant totaling more than 10% of the current allocation will not be considered during the Fall review. They will be considered during the Spring review if funds remain after decisions have been made on all other applications. The '10% rule' will apply to that faculty member who is the lead or primary investigator. The GRFC will consider that faculty member whose name appears first on the proposal to be the lead or primary investigator.

#### B. Ineligible personnel

1. Faculty members who resign from the University or whose appointments are terminated are not eligible to receive or expend allocations after their last regular appointment expires. When a faculty member with an active GRFC account leaves the university that account may be transferred to another faculty member approved by the chair of the GRFC.
2. Students are not eligible to submit a proposal.
3. Faculty members who have received GRFC funding for four proposals investigating the same general line of research without having submitted a request to an outside funding agency are ineligible.

### III. Amounts Awarded

Grants may be awarded in amounts recommended by the GRFC and approved or modified by the University Provost. Generally, awards are recommended for varying amounts with the typical award being about \$2500. Only in extraordinary cases will a proposal be funded for an amount greater than 10% of the GRFC's annual budget. The Committee places greater emphasis on funding seed money for new projects and a diversity of smaller projects rather than a few expensive ones.

### IV. Property

Title to all materials, equipment, supplies, microfilm, books, tapes, documents, etc., obtained with Committee funds will rest in the University. When such materials are no longer needed for the project, they should be released to either the department or University Library for use by other faculty members and students.

## **V. Patents and Copyrights**

If the results of any research funded by the GRFC are patented and/or copyrighted, any resulting proceeds are subject to the University's Patents and Copyrights Policy. (A copy of this policy is included in this booklet as pages 20 and 21). Any personal monetary gain from the proposal should be returned to the committee up to the amount awarded.

## **VI. Role of Director of Grant Development**

The GRFC serves as an advisory committee to the Provost and recommends funding or nonfunding of projects directly to the Provost. The Director of Grant Development in the Office of Research and Grant Development serves as a nonvoting member of the GRFC and is available to provide assistance for those wishing to submit a proposal. GRFC proposals which have been funded will be kept on file for two years in the Office of Research and Grant Development.

## **Part Two: Submission Details**

This part addresses important deadlines and special provisions for research involving human subjects, animal subjects, or hazardous materials.

### **I. Deadlines for Submitting Proposals**

A. Fall semester: An electronic copy of the completed proposal must be uploaded to the Grants and Research Funding Committee (GRFC) Submission web site no later than 5 p.m. on the second Monday of October. Before the proposal is uploaded to the GRFC Submission web site, the College Representative should conduct the initial screening to make sure that the proposal adheres to the GRFC guidelines and is structured in the proper format. Because signatures of the GRFC College Representative, the Department Chairperson, and the College Dean must be obtained for the proposal to be forwarded to GRFC, it is strongly suggested that applicants allow enough time to gather the required signatures on the required "Title Page," to scan the signed "Title Page," and to upload the completed proposal to the GRFC Upload web site by the 5 p.m. deadline. To ensure file compatibility for GRFC members, the electronic copy of the completed GRFC proposal should be prepared in the word processing software currently used by the Campus (e.g., Microsoft Word).

B. Spring semester: An electronic copy of the completed proposal must be uploaded to the Grants and Research Funding Committee (GRFC) Submission web site no later than 5 p.m. on the last Monday in February. It should be noted that if all funds are recommended for encumbrance during the Fall semester, no proposals will be considered in the Spring semester. Before the proposal is uploaded to the GRFC Submission web site, the College Representative should conduct the initial screening to make sure that the proposal adheres to the GRFC guidelines and is structured in the proper format. Because signatures of the GRFC College Representative, the Department Chairperson, and the College Dean must be obtained for the proposal to be forwarded to GRFC, it is strongly suggested that applicants allow enough time to gather the required signatures on the required "Title Page," to scan the signed "Title Page," and to upload the completed proposal to the GRFC Upload web site] by the 5 p.m. deadline. To ensure file compatibility for GRFC members, the electronic copy of the completed GRFC proposal should be prepared in the word processing software currently used by the Campus (e.g., Microsoft Word).

C. Third Round: If unexpended funds exist after the fall and spring semester meetings of the GRFC, a third call for proposals may be extended at the discretion of the GRFC.

### **II. Term of Award/Extensions.**

A. Fall Semester Awards: The term of each award shall be from the receipt of the award letter to the end of the fiscal year (June 30) following that fiscal year in which the award is made (e.g., an award made in the fall of 1998 [FY99] will run until June 30, 2000).

B. Spring Semester Awards: The term of each award shall be from the receipt of the award letter to December 31 of the fiscal year following that year in which the award is made (e.g., an award made in the spring of 1999 [FY2000] will run until December 31, 2000).

C. Third Round Awards: The term of the third round awards shall be the same as the spring semester awards.

- D. Time Extension for Project: The time period of a project can be extended. A letter addressing the need for extension, exact time required, and reason(s) for the change should be sent to the GRFC Chairperson. The chairperson can approve a reasonable extension without the input of the committee. A second or third extension will be granted only under the most unusual circumstances and with the formal approval of the GRFC.

### **III. Submission of a Final Report:**

A report must be filed with the GRFC chairperson by September 30 (for fall semester awards), or by March 31 (for spring semester awards) following the termination date as discussed in "Term of Award/Extensions" (Section II above). The final report should summarize budget expenditures, the result of the project or research study, and the plans for dissemination of the results. For research projects, a copy of the manuscript, reprint of the resulting article, or abstract from a resulting presentation should accompany the final report. For creative projects, a copy of the program for the exhibition or performance or some evidence that the work has been completed should be submitted. Proposals by an applicant who has not submitted final reports on completed GRFC projects will not be considered by the GRFC for further funding until the final report has been submitted.

### **IV. Human/Animal Subjects**

Research which involves human or animal subjects must be approved by the appropriate College Review Committee or by the University Committee on Research Involving Human Subjects or Institutional Animal Care and Use Committee in accordance with the procedures set forth by those committees. The proposal may be submitted to the appropriate committee and to the GRFC at the same time. A statement indicating that the research has been submitted/approved by the above committee should be included in the Procedure section (See Part Three, Section III, B, 4, g. below.)

## **V. Hazardous Materials and Lab Safety**

Research involving hazardous materials and lab safety issues must have the procedure approved by the College of Science and Technology Hazardous Materials Advisory and Lab Safety Committee before funding is approved. The proposal may be submitted to that Committee and to the GRFC at the same time. A statement indicating that the research has been submitted/approved by the Committee should be included in the Procedure section (See Part Three, Section III, B, 4, g. below).

## Part Three: Guidelines for Preparing Proposals

This part addresses the style, preliminary review, and structure of the proposal. All proposals **MUST** be prepared according to the structure presented.

### I. Style of the Proposal

- A. The proposal must be written in clear and direct language, avoiding the use of professional jargon whenever possible. (The author is reminded that the GRFC is made up of faculty from each college, some of whom may not be familiar with the author's area of specialization.)
- B. All pages must be numbered in consecutive order following the title page and must be double spaced. The proposal (excluding appendices) must not exceed fifteen (15) pages.
- C. The section titles and subheadings described in "Structure of the Proposal" (Section III below) must be used.

### II. Preliminary Review

Preliminary review of proposals within the applicant's department or field is strongly recommended; applicants are urged to ask their colleagues or outside experts to review their proposals prior to submission. The Office of Research and Grant Development will provide assistance in preparing grant proposals. The applicant must consult the GRFC representative early in the development of the proposal to ensure that the proposal contains all necessary information and materials. The researcher or project designer should thoroughly brief the representative on specific details of the proposal.

### III. Structure of the Proposal

#### A. Section One, TITLE PAGE (one page)

The format of the Title Page in Appendix 1 must be used. The title page serves as the cover page for the proposal.

#### B. Section Two, PROJECT DESCRIPTION (no more than 9 pages; use the following subheadings)

1. **Problem.** A statement of the research problem or the subject of the creative project should be included here, along with an explanation of the significance of the project.
2. **Objectives.** A brief description of the research/project objectives (hypotheses) must clearly indicate how the proposed project will address the problem cited.
3. **Literature Review.** A brief literature review of research pertinent to this project should be described and cited. If there is no research directly related to this project, the applicant must indicate this and describe research that justifies or supports the design, methodology, research questions, or research variables of the project. A bibliography will not satisfy this requirement.

While no literature review is required for a creative project, a description of a creative project must indicate how the project fits into the artist's body of work.

4. **Procedure.** A brief description of the proposed procedure and its rationale should be included here.
  - a. If a data collection instrument is to be used, a statement of its reliability and validity must be included in this section. If the reliability and/or validity have not been established, a statement of the proposed method to establish them prior to the instrument's use must be provided. In either case, a copy of the instrument must be attached to the proposal as an appendix.
  - b. If there is no specific data collection instrument, a step-by-step explanation of the procedures needed to carry out the research objective(s) must be included. Research design and methodology must be addressed in research proposals.
  - c. If the proposal is a developmental project or feasibility study, the applicant must explain step-by-step each objective or phase of the project. All supporting documents, such as appropriate approval of the sites and/or subjects from professionals or administrators, or the opinion of professionals in the field as to the viability of the project, should be included. If consultants are to be used, the applicant must explain in detail why consultants are needed and what special expertise and credentials they have.
  - d. If the proposal involves historical research, the applicant must list in priority order primary and secondary sources with complete bibliographical data, explain why these primary and secondary sources were selected, and assess the probability that the sources will contain needed information.
  - e. If the proposal is a creative project, the applicant must specify the materials needed and any site(s) to be visited, as well as any necessary consultation with other professionals. The applicant must also describe the anticipated product and estimate the time needed to produce it.
  - f. The availability of the equipment, facilities, and materials needed to carry out the project should be specified.
  - g. A statement indicating that the research proposal has been submitted/approved by the College or University Committee for Research Involving Human Subjects or Institutional Animal Care and Use Committee should be included if human or animal subjects will be involved. In addition, research involving hazardous materials must include a statement indicating that the procedure has been submitted/approved by the College of Science and Technology Hazardous Materials and Lab Safety Committee.
5. **Application.** The possible application or use of the results should be specified. Creative projects must thoroughly discuss the use, display, or presentation of the creative product.

**C. Section Three BUDGET SUMMARY (one page)**

1. The total cost of the project should be broken down into individual components. Use the budget form provided in Appendix 2, and see “Allowable Budget Items” (Section IV below).
2. If the total budget for the project is greater than the amount being requested from GRFC, distinguish the specific items and amounts being requested from GRFC.
3. Represent all items by whole dollars.
4. Any eventual cost overrun becomes the responsibility of the principal investigator, and the additional expense will not be supported by the GRFC.
5. A prioritization of the items in the budget should be indicated. This will minimize the possibility that the Committee will not fund an item that is crucial to the achievement of the goals of the project.

**D. Section Four BUDGET JUSTIFICATION PAGE (one or two pages)**

1. All budget items must be justified in the project description and/or in a budget justification following the budget. For allowable budget items, see “Allowable Budget Items” (Section IV below).
2. If you are requesting funds to purchase a computer, in your proposal you must include an explanation of why existing available computers are not sufficient for the project.
3. If you are requesting mileage please indicate the destination of the trip and the number of miles.
4. If you are requesting funds for student labor, indicate how you determined the number of hours to be covered.

**E. Section Five BIOGRAPHICAL SKETCH (one or two pages)**

1. Include the academic background (no more than one page) of the investigator(s) which is relevant to this proposal, along with the specific responsibilities of each investigator.
2. Include the scholarly preparation and professional recognition (no more than one page) relevant to the topic or purpose of the proposal. Include only the information that is relevant to the proposal; do not include a vita.

3. Indicate a list of awards from the GRFC, including the status of any active awards.
4. Include a list of proposals submitted to outside agencies, the status of those proposals, and the amount of grant dollars, if any, obtained from those agencies.

#### **IV. Allowable Budget Items**

- A. Personnel: Personnel costs include, but are not limited to, funds for student assistants. (Wages of student assistants are usually limited to the minimum wage; justify the special skills required if wages above minimum wage are requested.) The justification for personnel should address the following matters:
  1. The specific expectations and responsibilities.
  2. The relationship between the principal investigator and the personnel (e.g., student-teacher relationships).
  3. Special skills that are required.
  4. The educational experience the student may gain by participating in this activity.
- B. Travel and per diem: Requests for necessary travel funds should be made in accordance with the current University guidelines. Budget proposals for per diem travel and mileage may be reduced at the discretion of the committee.
- C. Equipment: Requests for funds to purchase equipment should be made only when the equipment is essential to the proposed project. If the requested equipment is not dedicated to the project, matching funds from the college or department will be required. Letter(s) of commitment will be required from the Chair and/or Dean stating that the matching funds will be provided during the period when the GRFC funds will be available.
- D. Expendable Supplies and Postage: Supplies include consumable materials, such as paper, chemicals, envelopes, etc. Postage should be listed here, too.
- E. Other Expenses: Expenses which do not fit the above categories are included here. They include, but are not limited to,
  1. Reproduction costs
  2. Communications costs
  3. Special services (e.g., chemical analysis, calligrapher, proof-reader, accompanist)
  4. Consultants (fees, travel, per diem)
  5. Computer use (outside the University)

#### **V. Budget Items That Cannot Be Funded**

- A. Academic salaries

- B. Travel to professional meetings (Exceptions may be considered only if it can be clearly demonstrated that attendance at a meeting is essential and unique to the conduct of the proposed research.)
- C. Internal (in-house) computer charges

## **VI. Accounting Procedures**

Each grant will be assigned an individual account number. The researcher will be the account custodian, and s/he can obtain an account card for on-campus expenditures (e.g., printing and duplicating). The researcher assumes responsibility for keeping track of grant expenditures and can contact the GRFC Chair, and the University Controller's Office with any questions about the status of the grant.

## **Part Four: Evaluation Criteria**

This part outlines the criteria used by the GRFC in evaluating proposals. All proposals are evaluated in a collegial, consensual manner by voting members of the academic units which comprise the GRFC.

### **I. General Evaluation Criteria**

- A. Proposal is well-written (i.e., it is easy to understand, presented in a logical manner, without jargon).
- B. No extraneous information is included, and proposal (excluding appendices) does not exceed fifteen (15) pages.
- C. Sufficient information is presented to allow a logical decision relative to funding potential.
  - 1. Project appears feasible.
  - 2. Proposal is presented in concise form and is not verbose.
  - 3. Convincing argument is presented that the proposed plan is appropriate.
  - 4. Convincing argument is presented that the proposed plan is timely, if applicable.
  - 5. Convincing argument is presented that the proposed plan maximizes and fully utilizes currently available resources.
- D. Effort was made to seek external or other support (if applicable).

### **II. Specific Evaluation Criteria**

- A. Problem
  - 1. The problem is clearly described.
  - 2. The significance of the project is explained.
- B. Objectives
  - 1. The objectives are briefly stated.
  - 2. The objectives are clearly defined.
- C. Literature Review
  - 1. The literature review is briefly described.
  - 2. The literature review is relevant to the problem.
- D. Procedure
  - 1. A clearly stated procedure, method, and plan are presented.
  - 2. Results are achievable with facilities to be used.
    - a. A complete description of facilities to be used, if applicable, is included. (Location of facilities should be specified.)
    - b. Emphasis is given to assets and advantages.

- c. Full utilization of local resources (e.g., library, computer, transportation, etc.) exists.
  - d. Relationship of facilities or locations to project needs is clear.
- 3. Results are achievable with project staff proposed.
- 4. Results are achievable with funds requested.
- 5. A reasonable timetable is presented.
- 6. A clear means of evaluation of data is presented.
  - a. Evaluation plan is clear and well-articulated.
  - b. Evaluation tools are consistent with discipline.
- 7. Reliability/validity information about data collection instruments is included, if applicable.
- 8. Statements are included about submission/approval of research projects involving human subjects, animal subjects, or hazardous materials to appropriate committee.

#### E. Application

- 1. The application is clearly stated.
- 2. The application is feasible with available resources.

#### F. Budget

- 1. No ambiguities exist; budget is easily understood.
- 2. Budget categories are clearly defined.
- 3. Expendables (supplies) and non-expendables (equipment) are identified in two distinct categories.
- 4. Relationship between budget and project objectives is clear.
- 5. Relationship between budget and procedure/method/plan is clear.
- 6. All expenses are directly related to project.
- 7. Items included are realistic (i.e., not excessive).
- 8. All items are sufficiently explained.
- 9. All items are represented by whole dollars (i.e., no cents).
- 10. Total project cost is accurately calculated (i.e., mathematics is error-free).

#### G. Biographical Sketch

- 1. The senior project faculty and staff are clearly identified.
- 2. In projects with co-investigators, the responsibilities of each are identified.
- 3. Information about scholarly preparation of investigators includes only information relevant to the proposal.
- 4. List of any previous awards from GRFC is included if investigator has received previous awards.
- 5. List of proposals submitted to outside funding agencies is included, if applicable.

### III. Reasons for Rejection of Proposals

- A. Missing deadlines.
- B. Failure to concisely and clearly state the project objectives without jargon.
- C. Failure to clearly indicate the proposed outcome of the project.

- D. Failure to provide a clear rationale for the proposed project.
- E. Travel requests without sufficient justification of intended research objectives.
- F. Failure to follow guidelines in preparing proposal (e.g., proposal too long).
- G. Slanted, biased presentation of proposal.
- H. Budget items which are not sufficiently justified.

**Procedures established by the Grants and Research Funding Committee - 1979**  
**Approved by the Faculty Senate - July 11, 1979**  
**Approved by the President - September 3, 1980**

**Revised Guidelines approved by the Faculty Senate - April 11, 1984**

**Amended by Faculty Senate, Bill 85-A-02 - April 3, 1985**  
**Approved by President - May 6, 1985**

**Amended by Faculty Senate, Bill 87-A-04 - April 22, 1987**  
**Approved by President and Board of Regents - July 23, 1987**

**Amended by Faculty Senate, April 18, 1990**

**Amended by Faculty Senate, December 2, 1992**

**Amended by Faculty Senate, April 19, 1995**

**Revised Guidelines approved by the Faculty Senate - September 16, 1998**

**Revised Guidelines approved by the Faculty Senate – May 2001**

**APPLICATION PROCEDURES FOR PUBLICATION CHARGES**  
**GRANTS AND RESEARCH FUNDING COMMITTEE**

**I. Submission Period of Publication Charge Proposals:**

Proposals may be submitted immediately upon the availability of a GRFC budget following the beginning of a fiscal year. The cut-off date is the first Monday in March. At this time those funds not used in the Publication Charge Fund will be freed for use in the spring proposal competition. If uncommitted funds remain from the spring proposal competition, additional Publication Charge proposals may be considered.

**II. Evaluation of Proposals:**

If a proposal meets the criteria stated below, it may be accepted at the discretion of the GRFC chairperson without review by the committee as a whole.

A. Criteria for Acceptance by the GRFC Chair

1. Applicant provides evidence that manuscript will appear in a scholarly, refereed journal (e.g., letters from the college dean and departmental chairperson; copy of the journal's editorial policy; in some cases, a copy of a list of the journal's editorial board).
2. Applicant provides evidence that the manuscript has been accepted for publication in the journal.
3. The maximum assessed publication charges do not exceed \$400.

B. If any of the above criteria is not met in a given proposal or at the discretion of the GRFC chairperson, the proposal will be forwarded to the committee at large for consideration. For example, publication costs in excess of \$400 will be considered for funding by the committee as a whole. If a given publication cost proposal is deemed to require the consideration of the GRFC at large, the committee shall meet to review it within one month of its submission or at its earliest convenience.

**III. Application Procedures/Materials:**

A. The following materials must be submitted:

1. A cover page of the form shown in Appendix 3.
2. A cover letter stating the details of the request and any special considerations (see Section VII below), should they exist.
3. Materials in support of the criteria established above (see Section II above).
4. A single copy of the manuscript attached to the proposal.

B. Proposals to cover publication costs in excess of \$1000 must be prepared in accordance with the established guidelines for research proposals (see page 9 of this booklet). They will be considered during regular sessions at which research proposals are discussed.

**IV. Follow-Up Requirements:** The grantee shall submit one photocopy or reprint of the publication to the chairperson of the GRFC within six months of the publication date.

**V. Percentage of the GRFC Budget to be "Safeguarded" for Publication Costs:**  
Up to 10% of the GRFC budget will be reserved for the Publication Charge Fund.

**VI. Policy Regarding Reprints:** Funds shall not be provided for the purchase of reprints.

**VII. Special Considerations:**

Special situations may arise occasionally during consideration of publication cost proposals. For those that have been foreseen, the following policies are adopted.

**A. Publication of Degree-Related Research**

Such material will not be funded through the GRFC unless significant advancements and additions have been made and incorporated into the manuscript since awarding of the degree (assuming that such work was conducted at SEMO). Spin-offs or follow-up studies to the degree-related research, conducted at Southeast Missouri State University, have the opportunity to be funded through the GRFC.

**B. Multiple Authorships When One or More Authors Are Not from Southeast Missouri State University**

If it can be demonstrated that an author from this institution warrants first-authorship (e.g., the authorship was not determined alphabetically), full publication costs can be applied for. Otherwise, the author(s) should request a percentage of the publication costs, the remaining author(s) assuming responsibility for the balance.

**C. Publication Costs Resulting from "In-House" Funded Research Versus Independently Conducted Research**

An applicant can apply for full publication costs as long as the research leading to publication was conducted by a member of the Southeast Missouri State University faculty or staff in conjunction with professional pursuits.

**Approved by the Faculty Senate - January 27, 1982**

**Revised Guidelines approved by the Faculty Senate - September 16, 1998**

**Revised Guidelines approved by the Faculty Senate - May 2001**

## **PATENTS AND COPYRIGHTS POLICY**

The purpose of this policy is to protect the rights and benefits of Southeast Missouri State University, the people of Missouri, and the inventor, discoverer, or author in matters pertaining to patents and copyrights. Within this purpose it should be recognized that the objectives of the University do not encompass the invention or development of a product or process for commercial use. Patentable inventions, processes, etc., will instead be a by-product of the usual intellectual endeavors of the faculty and staff of the University.

Any invention or discovery made by an employee of the University or resulting from research carried on under the direction of an employee, in which the University may have an interest, shall be promptly reported by such discoverer to the Grants and Research Funding Committee. The Committee shall review related data and information and make recommendations concerning financial terms and problems concerned with the development and administration of such inventions and discoveries and patents secured thereon. The Committee shall make recommendations to the President concerning the disposition and terms of administration of such inventions and discoveries.

Except in cases where other arrangements have been specifically agreed to in writing, it shall be the policy of Southeast Missouri State University to permit University employees and students to retain in full all copyright and patent privileges resulting from their usual intellectual endeavors. In cases where University support or sponsorship has been provided, the recovery of institutional costs shall:

1. Begin only when residual profits have been accrued as a result of individual or group ownership of copyrights or patents.
2. Be limited to fifty percent of the residual profits accrued as a result of individual or group ownership of copyrights or patents.
3. Continue until all institutional costs have been recovered or until additional residual profits have not been accrued for a period equal to two years after the last instance in which residual profits were accrued, whichever comes first.

Residual profits shall be defined herein as total profits generated by a copyrighted or patented product or process minus all costs borne by the individual or group owning those products' or processes' copyright or patent privileges.

In all cases where University support or sponsorship has not been provided, the cost of administering or procuring copyright or patent privileges will not be borne by the University unless agreed to in writing by the Board of Regents. University support or sponsorship will be defined herein as:

1. Direct assignment by the University of an individual or group to conduct a specific intellectual endeavor whose only aim is the meeting of the objectives of the University and not the production, improvement, or discovery of a copyrightable or patentable product or process.
2. Financial Aid in the form of grants, scholarships, awards, or purchased materials or supplies from University funds provided by the State of Missouri.

In all cases where University support or sponsorship has been provided and institutional costs have been recovered, all monies resulting from the recovery of institutional costs shall be returned to the funding unit of the University from which support or sponsorship was provided.

Southeast Missouri State University and its Board of Regents disclaim and expressly deny any liability or responsibility for patent infringement or negligence on the part of any person or entity who may elect to obtain a patent or copyright under the provisions of this policy.

**Approved by Faculty Senate, Bill 83-A-04 - April 20, 1983**

**Approved by the President and the Board of Regents - May 19, 1983**

## Appendix 1

### **Title Page: A Proposal To The Grants and Research Funding Committee**

1. Title \_\_\_\_\_  
\_\_\_\_\_
2. Name(s) of investigator(s) \_\_\_\_\_  
If more than one, designate which is to serve as fiscal officer responsible for budget control. \_\_\_\_\_
3. Department \_\_\_\_\_
4. Period covered by proposal: \_\_\_\_\_ to \_\_\_\_\_
5. Total amount of request: \_\_\_\_\_
6. Does this proposal involve human subjects? \_\_\_\_\_; animal subjects? \_\_\_\_\_; hazardous materials? \_\_\_\_\_; controlled substances? \_\_\_\_\_.
7. Have you previously sought external funds for this project? Yes / No  
External Funding Source(s) \_\_\_\_\_
8. Have you identified potential (future) external funding sources for this project? Yes / No  
External Funding Source(s) \_\_\_\_\_
9. If no external funding sources have been identified, have you contacted the Office of Research and Grant Development to conduct a search on your behalf? Yes / No
10. Brief abstract of proposal:

Forwarded (with optional comments; may use the reverse side also)

11. \_\_\_\_\_  
GRFC College Representative Date
12. \_\_\_\_\_  
Chairperson Date
13. \_\_\_\_\_  
Dean Date

## Appendix 2

### Proposal Budget Form

Name:

Department:

Name of Proposal:

ITEM	AMOUNT REQUESTED FROM GRFC	TOTAL AMOUNT REQUESTED
Personnel:		
Travel and per diem:		
Mileage		
Air, bus, etc.		
Per diem		
Equipment:		
Expendable Supplies and Postage:		
Other Expenses:		
Total		

**Appendix 3**

**Title Page**

**Publication Charge Request**

**Grants and Research Funding Committee**

1. Title \_\_\_\_\_  
\_\_\_\_\_
2. Name(s) of investigator(s) \_\_\_\_\_  
If more than one, designate which is to serve as fiscal officer responsible for budget control \_\_\_\_\_
3. Department \_\_\_\_\_
4. Name(s) and address(es) of additional author(s) not from Southeast Missouri State University \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. Publication date: \_\_\_\_\_
6. Total amount of request \_\_\_\_\_
  - a. Have you applied or do you plan to apply for external funds to support this request?  
\_\_\_\_\_ If yes, give status:
  
  - b. Have you contacted the University Office of Research and Grant Development for external funding possibilities? \_\_\_\_\_