



Andrews University
Office of Research and Creative Scholarship

POLICY AND PROCEDURE
HANDBOOK FOR RESEARCHERS

Faculty Research Grants

Spring 2022

FACULTY RESEARCH GRANTS (FRG)

1. INTRODUCTION

Andrews University, through the Office of Research and Creative Scholarship, competitively awards Faculty Research Grants (FRG) on a yearly basis to qualified university faculty. University faculty members from all disciplines are encouraged to apply. Applications are evaluated based on academic merit, and in accordance with the following funding objectives:

- To assist new (and newly active) faculty in developing and establishing an active research program at Andrews University.
- To assist faculty who are active in research to develop their research program with the goal of successfully applying for funding from external sources.
- To assist senior faculty members in mentoring junior faculty.
- To assist faculty who are active in supporting student research and student scholarship development.

Faculty members may apply for Faculty Research Grants of up to \$5,000 to support research/creative scholarship projects at Andrews University. We encourage collaborative applications that include multiple faculty members. If two full-time faculty members submit a joint application, the maximum support is \$5000 per faculty member, or \$10,000 total for the application. Adjunct, part-time, and emeritus faculty members are welcome as co-PIs on the grant application, but will not affect the allowed funding limit, which is based only on the full-time faculty PIs.

Faculty Research Grant support can cover expenses associated with the faculty member's scholarly growth activities, such as the following:

- Student labor (undergraduate and graduate). Student labor may be used for support functions, such as secretarial work, literature searching, etc. Additional funds may be available for student collaboration through [Undergraduate Research Scholar \(URS\)](#) awards, so long as they are doing student-led or student-collaboration research that will result in their coauthoring the presented/published results.
- Travel for research purposes. This includes travel for work with off-campus research collaborators and field-based research, but excludes travel for conference participation.
- Miscellaneous supplies and small equipment, under \$2500 (the purchase of computers excluded).
- For Junior faculty only (within six years of first tenure-track appointment): Allowance for hiring a contract teacher to cover one of your regularly scheduled classes (up to \$2400), yielding a one-course teaching release for research. If you choose this option, justification must be included explaining how the additional release time will be used to further your research program. Your grant will be charged an additional 22% benefits rate on top of the actual contract amount.

Start-up funding for faculty members to begin (or re-start) their research is typically given for two years. To be eligible for additional grant funding in the third and subsequent years, the following research benchmarks are expected:

- Third year: Previous research results demonstrated through presentations at appropriate disciplinary conferences.
- Fourth year: Research results demonstrated through refereed publications.
- Fifth year: Active preparations for external grant submission.
- Sixth (and subsequent) years: External grant application submitted, and if rejected, improvements are in process for application resubmission.

Waivers of the above benchmarks for funding may be granted for faculty members who are primarily using FRG funds to either (a) mentor junior Andrews faculty, or (b) support student research.

Faculty receiving external grants that include significant overhead funds will be eligible to apply for Faculty Research Grants. However, any funding awarded to these faculty members will be appropriated out of the external grant overhead funds.

For a more detailed description of the application process, you may access this [slideshow](#), which was used for New Faculty Orientation in February 2020.

1.1 The Faculty Research Grant Application Process

Pre-Review of Faculty Research Grant Proposals: In order to enhance the quality of research proposals and provide development and growth for faculty in conceptualizing and planning effective programs in scholarly productivity/research, the Office of Research and Creative Scholarship provides opportunity for a pre-submission review process. The Faculty Research Review Committee will evaluate applications received by the **January 31** pre-submission deadline for clarity and completeness, and make recommendations for improvement prior to the final application deadline. Although this pre-review process is optional, it is highly encouraged for all faculty members, and especially for those who have not previously submitted a FRG proposal.

Review Process: All Faculty Research Grant applications and renewals must be submitted by the **February 28** deadline. The Faculty Research Review Committee will evaluate all applications, and recommend funding allocations, which will be reported to the faculty applicants by **March 31**. Funds will be available for use during the fiscal year starting May 1 and going through the following April 30.

Renewal of a current FRG may be requested for a maximum amount of a new funding of \$3,000 plus any remaining funding from the current grant, up to a total of \$5000. This additional funding may be requested for a maximum of two years, after which a full grant application would need to be submitted for further funding.

Unspent balances from internal research grants can be carried over to the next fiscal provided that a Grant Renewal Form that provides appropriate justification is submitted in a timely manner; otherwise, all unspent grant balances revert to the Office of Research and Creative Scholarship after the April 30 grant termination date, and will be used as additional funding for the awarding of future Faculty Research Grants.

GC/NAD Review: Faculty Research Grants on topics of interest to the General Conference or North American Division are jointly reviewed by the Faculty Research Review Committee, the GC, and the NAD.

The GC, Office of Archives, Statistics & Research, under the direction of David Trim, uses the following criteria in evaluating the project proposals.

1. How does this project meet one or more of the GC Research Objectives? Does it:
 - a. Improve the effectiveness of mission to those outside the Seventh-day Adventist Church
 - b. Enhance the quality of pastoral ministry and discipling to church members as well as meet their needs
 - c. Assist denominational organizations and denominationally funded programs to achieve optimal efficiency and value
2. How will the matching funds be utilized

The NAD, Office of Strategic Planning and Assessment, under the direction of Paul Brantley, uses the following criteria in evaluating the project proposals.

1. How does this project meet one or more of the NAD Research Objectives? Does it:
 - a. Support the information needs of the NAD's strategic plan
 - b. Document the significance of felt needs throughout the NAD territory
 - c. Improve the church's reach to persons outside the Seventh-day Adventist Church
 - d. Enhance the quality of pastoral ministry and discipling to church members
 - e. Determine the effectiveness of denominationally funded projects and programs
 - f. Diagnose and enhance organizational health of the church
 - g. Improve the efficiency and effectiveness of church operations
 - h. Identify innovative approaches that show promise of making positive impact
2. How will the matching funds be utilized?

FRG applications that match one or more of these research objectives can potentially receive matching funds from the GC/NAD to support the research. Relevant applications will automatically be forwarded to the relevant GC/NAD office for their independent review. If approved, the matching funds will be added to the approved FRG.

1.1.1 Faculty Research Grant Application Forms

- [Faculty Research Grant Application Form](#) – for all new applications
- [Faculty Research Grant Renewal Form](#) – for renewal applications, as well as request for funding extension of previous year's award.

All completed applications are to be submitted electronically to the Office of Research and Creative Scholarship, at research@andrews.edu.

Application Timeline	
ACTIVITY	TIMELINE
Pre-proposal submission (Recommended)	January 31
Peer-review response to Pre-proposal	February 15
Proposal submission	February 28
Awards notification	March 31
Fund available for use	May 1

1.1.2 Sample Abstracts

Abstracts of recent and currently funded Faculty Research Grants can be found here: [Faculty Research Grants](#)

1.1.3 New Faculty Members

New faculty members who are hired after the February 28 FRG proposal submission deadline are not required to wait an entire year before having the opportunity to receive research funding. For these new faculty (and only these new faculty), the Office of Research and Creative Scholarship will consider Faculty Research Grant proposals submitted by September 30 of the first year of employment. Please contact the Dean of Research at research@andrews.edu for more information and for assistance in completing the FRG Application process.

1.2 Intellectual Property and Faculty Research Grants

Under most circumstances (for exceptions, see Working Policy, section 2:383), faculty members who are involved in research and creative scholarship retain the intellectual property rights for their creations. This includes work that is supported by internal Faculty Research Grants. However, faculty members who wish to receive continuing support from internal Faculty Research Grants must report income generated by royalties or sales of products in the “External Funding” section of the Faculty Research Grant application. Faculty members may apply for funding for expenses that are in excess of that which can be covered by royalty or sales income. Research and creative scholarship that reasonably can be funded out of royalty or sales income is not eligible for Faculty Research Grant funding beyond an initial start-up period.

2. EXPENDITURES

2.1 Quick Facts

- 1. All expense reports, check requests, one-time payments, credit card statements, wage requests, or contracts that are being charged to a Faculty Research Grant or external grant must be signed by the Office of Research and Creative Scholarship.**
2. Non-travel expenditures over \$100 must be purchased by faculty or staff on a corporate credit.

2.2 Departmental Credit Card Purchases

Department credit card statements that have purchases charged to a Faculty Research Grant or external grant must be signed by the Office of Research and Creative Scholarship.

2.3 Undergraduate Research Scholar Awards

Undergraduate Research Scholar Awards (URS) for undergraduate students are available on top of your Faculty Research Grant budget. You do not need to include URS awards in your budget. Instead, please submit the URS application at the beginning of the semester by the submission deadline (first Friday of the semester). Awards will be paid as a scholarship at the end of the semester, based on the faculty mentor's certification that the student has achieved the expectations in terms of involvement, interest and growth. Once the faculty mentor has certified that the student has met expectations by submitting the URS report to the Office of Research and Creative Scholarship (research@andrews.edu), the award will be credited as a scholarship to the student's account.

2.4 Contract Work

Contract work may be paid using a check request or invoice for non-AU employees or a one time pay request for AU employees. A W-9 (U.S. Citizen) or W-8BEN (non U.S. citizen) is required for payment of non-AU employees.

Please note that the Affordable Care Act (ACA) requires that you submit the number of hours worked per week for work done by AU employees. AU also requires that benefits

be paid to full-time employees, so please take into consideration the addition of 22% of the labor cost for any work done by AU employees (this includes contract teachers who may not be full time).

2.5 Student Travel and Food

FRG funds may cover student travel for research. However, FRG funds may not be used for travel funds to conferences for the researcher or students. The Office of Research provides [other funding](#) to match department contribution for student travel to present at conferences. Actual food expenses for students while traveling may be covered, but they cannot receive per diem.

2.6 Incentives

Purchasing gifts or gift cards as an incentive is fine, but justification needs to be supplied, as well as a letter from IRB demonstrating that the researcher has IRB approval. Please note that if you are giving a gift larger than \$49.99, the gift is taxable to the recipient and requires you to submit additional information when requesting reimbursement (including current W-9 or W-8BEN for persons not employed at Andrews). Gift cards of any amount must be reported as taxable.

2.7 Membership Dues

Membership dues are not covered by Faculty Research Grants. Memberships should be covered either by the Faculty Activity Report award funds or by the researcher's department.

2.8 Over-Expenditures

Any expenditure over the total approved grant budget will be the responsibility of the faculty member.

2.9 Forms

Employment/HR forms (Graduate Assistant, Contract, or Student rate sheet forms):
https://www.andrews.edu/services/hr/info_resources/documents/

Expense Reports/Check Requests:
<https://www.andrews.edu/services/finrec/index.html>

Common Research forms:
https://www.andrews.edu/services/research/faculty_resources/forms_and_documents/index.html

2.10 Common Accounts

The full charge number for any FRG expense should be as follows:

11-2011-xxxx-75-2011yy (for Faculty Research Grants the yy is specific to the individual FRG and the xxxx is for the account code, which is given below).

The full charge number for any external grant expense should be as follows:

zzzzzz-9920-xxxx-75 (for external grants the zzzzzz is specific to the individual external grant and the xxxx is for the account code, which is given below).

A complete list of common accounts is available at:

<https://www.andrews.edu/services/finrec/doc/accountslistpost.pdf>

A list of frequently used accounts is below:

Wages

9120 Faculty/Staff Contract

9250 Student Wages

9260 Student Contracts

9270 Grad Assistantships

9613 Professional and Contract Services for non-AU employees

Travel

9430 Travel and Mileage

Supplies & Equipment

9591 Research Expense

9851 Equipment under \$2500

3.

REIMBURSEMENT PROCEDURES

Expense Reports

Expense reports are used for reimbursement for current Andrews University employees (faculty, staff, and students). They are not used for payment of employees. All expense reports with charges to a faculty research grant or external grant account must be signed by the Office of Research and Creative Scholarship.

Students are not eligible to receive per diem. They must submit receipts in order to receive reimbursement for their food.

1. FRG expense reports must have:
 - a. Faculty Signature and ID number. If the expense report is for someone other than the PI of the grant, the PI signature must be included as well.
 - b. Date of travel, if applicable.
 - c. All the receipts with the method of payment (cash, credit card with last 4 digits) listed.
 - d. If the reimbursement is for student food, receipts must be included.
 - e. For meal receipts, the itemized list of charges must be included.
 - f. Correct charge number. If you do not know or are unsure of the charge number, the Office of Research can supply the charge number when submitted.
2. The Office of Research will sign the report and enter the expense into the spreadsheet. A scan will be made and kept in a folder specific to the grant.
3. The expense report will be submitted to Accounts Payable (trexp@andrews.edu).
4. An email will be sent to the researcher verifying that the expense report has been processed by the Office of Research.

Check Requests

Check Requests are used for payment or reimbursement of vendors or individuals not employed by Andrews University. All check requests for charges to a faculty research grant or external grant account must be signed by the Office of Research and Creative Scholarship.

1. FRG check requests must have:
 - a. Correct charge number. If you do not know or are unsure of the charge number, the Office of Research can supply the charge number when submitted.
 - b. W-9 if for new vendor/individual.
 - c. Receipts, if applicable.

2. The Office of Research will sign the request and enter the expense into the spreadsheet. A scan will be made and kept in a folder specific to the grant.
3. The check request will be submitted to Accounts Payable (ap@andrews.edu).
4. An email will be sent to the researcher verifying that the check request has been processed by the Office of Research.

One Time Pay Requests

One Time Pay Requests are used for payment of Andrews University employees (faculty, staff, and students) for project based work. All one time payments for services charged to a faculty research grant or external grant account must be signed by the Office of Research and Creative Scholarship.

1. FRG One Time Pay Requests must have:
 - a. Brief description of the project.
 - b. Supervisor/Researcher's signature.
 - c. Specified number of hours worked for each week.
 - d. Correct charge number. If you do not know or are unsure of the charge number, the Office of Research can supply the charge number when submitted.
2. The Office of Research will sign the request and enter the expense into the spreadsheet. A scan will be made and kept in a folder specific to the grant.
3. The request will be submitted to Payroll (payroll@andrews.edu).
4. The payment will be added to the employee's paycheck.

Credit Card Statements

Researchers are encouraged to purchase equipment and lab materials on the department credit card. All credit card statements with charges to the Office of Research must be signed by the Office before being submitted to Accounts Payable.

1. Credit Card Statements must have:
 - a. Receipt of purchase with charge number.
 - b. Correct charge number associated with the purchase on the statement page. If you do not know or are unsure of the charge number, ask the Research Services Coordinator or the Dean of Research.
2. The Office of Research will sign the statement and enter the expense into the spreadsheet. A scan will be made and kept in a folder specific to the grant.
3. The statement will be submitted to Accounts Payable (trexp@andrews.edu).

Purchase Order

Most lab supplies are purchased using Purchase Orders (PO), in which the University is billed directly for the materials.

1. Purchase Orders (POs) should be brought to the Office of Research to be signed.
2. The PO will be scanned, the scan kept in a folder specific to the researcher, and then submitted to Accounts Payable (ap@andrews.edu).

Once the PO has been approved, the company will send the University an invoice.

1. The invoice should be brought to the Office of Research to be signed.
2. The invoice will be scanned, the scan kept in a folder specific to the researcher, and then submitted to Accounts Payable (ap@andrews.edu).