

**UNIVERSITY OF PUERTO RICO AT HUMACAO
DEANSHIP FOR ACADEMIC AFFAIRS**

INSTITUTIONAL RESEARCH FUND (FoPI)

GUIDELINES AND APPLICATION FORM

REVISED 2008

INTRODUCTION

Research and artistic creation form an integral part of the teaching endeavors of a university. These creative activities are necessary not only in the search for new knowledge, but also for improving the disciplinary preparation of the faculty. The UPRH recognizes the importance of research by considering it one of the inherent prerogatives of every institution of higher education. To satisfy this need and, at the same time, recognize the integration of teaching with research and artistic creation, the Deanship for Academic Affairs has reserved an annual recurrent fund which will encourage this activity among faculty members. This fund will be known as “Institutional Research Fund” (FoPI, for its Spanish acronym). The purpose of the aforementioned fund is to offer the opportunity to carry out individual or joint research projects that contribute to the academic development of faculty as well as students.

The quality of the project, its possibility for generating additional research and student participation are important factors in the evaluation of a proposal. In the same manner, research previously conducted and publication of results are determining factors for conceding an extension. The UPRH will organize every two years “Investigation Day,” a symposium in which the research projects funded by FoPI will be presented to the university community.

Every research project must culminate in a product which is publishable in a medium adequate to the nature of the project. Therefore, the professor must submit a final report and the research findings within two months of completion of the terms of FoPI’s sponsorship. Also, the professor must include a copy of all publications related to the funded project upon submission of the report. Copies of subsequent publications will be sent to the Deanship to be included in the corresponding project file. All publications must explicitly recognize FoPI’s sponsorship.

Eligibility

To request FoPI funds, the investigator must comply with the following requirements:
He/she

1. must be a faculty member with a regular position at UPRH (probation or permanent) and not hold an administrative position.
2. has not received FoPI funds during the previous two years.

Types of Proposals

All proposals must consist of quantitative or qualitative research or literary, plastic, or dramatic creation. These proposals may be for:

1. new projects, except in the case of renewal.
2. cooperative research projects that involve faculty and students of the same department.
3. interdisciplinary and transdisciplinary research projects to be conducted by two or more faculty members.

4. completing initial research which has resulted in important partial results.

Assessment proposals will not be considered, since the main purpose of classroom assessment is to make decisions related to the teaching-learning process based on the information gathered. Assessment is considered one of the duties inherent to faculty. All research should be guided by the criteria that regulate formal research. Further, FoPI will not accept more than one proposal from an investigator except if he/she is the secondary investigator in the proposals submitted.

Effective Period for FoPI Proposals

The fundamental purpose of FoPI is to encourage faculty to become involved in research, artistic or literary creation projects. As such, FoPI proposals should be projects that can be completed within one year. Extensions for a second year may be considered only if there is a justified reason for said extension and if there is evidence of progress in the attainment of the proposal's objectives.

REGULATIONS FOR ASSIGNMENT OF FUNDS

1. All assigned funds are subject to the established norms of the University of Puerto Rico system, specifically of Humacao. Any discovery, invention or patent resulting from research funded or sponsored by FoPI will be property of UPRH.
2. Funds will be authorized for the purchase of materials required for research or artistic or literary creation such as equipment, computer software, specialized books, professional trips related to the project, and costs for publication in professional journals. In justified cases, the contracting for specialized services, such as consultants, computer programmers, or photographers, will be authorized. Payment for technical or clerical services that may be provided by Institutional personnel and stipends for students will not be authorized. The solicited funds, together with other available resources for the project, should be sufficient for the attainment of the proposal's objectives.
3. If the investigator requires academic release time for his/her project, the investigator's academic department should provide for up to six credit hours release time per academic year.
4. The proposal must be submitted by the due date established by the Deanship for Academic Affairs as published in the application form.
5. All proposals must have the department chair's endorsement, especially in cases where there is a request for academic release time.
6. The investigator's academic load cannot exceed 15 credits, including additional academic release time.

EVALUATION OF PROPOSALS

All proposals to be considered must be completed according to the FoPI application form.

1. **Evaluation by the Institutional Research Committee.** The Deanship for Academic Affairs, through the Institutional Research Committee, will conduct an administrative evaluation based on the following criteria:
 - a. submission of the proposal by the due date with all the required documentation according to the FoPI application form
 - b. external evaluators' recommendations
 - c. pertinence of the proposal to the investigator's academic department and to the Institution
 - d. potential for obtaining external funding.

2. **External evaluators.** Each proposal will be evaluated by at least two experts in the subject matter of the proposal who will submit their recommendations to the Institutional Research Committee. These professionals must be from outside the UPRH. The applicant will be responsible for following up on the evaluators to ensure that the proposal evaluations are submitted by the due date. Each proposal will be evaluated using the following criteria:
 - a. capacity of the applicant to carry out the proposed project
 - b. merits of the proposal within the discipline
 - c. viability of the proposed project
 - d. proposal design as required
 - e. possibility of obtaining external funds

These criteria are explicit in the proposal evaluation form. Proposals that do not have external evaluations will not be considered.

3. **Priority for the assignment of funds.** Funds will be assigned in the following order of priority of the categories listed (each one is considered a category):
 - a. research or artistic creation projects by professors who are beginning their participation in research in their specialty
 - b. cooperative, interdisciplinary, and transdisciplinary projects by two or more professors
 - c. renewal or continuation of projects that present evidence of progress in the required final report
 - d. new projects by investigators who have been previously funded by FoPI
 - e. new projects by investigators who have other financed projects
 - f. projects funded by other agencies and that need additional funds to complement the projects

Projects that involve student participation in the research or artistic creation will be assigned the highest priority in each category.

4. Assignment of funds.

- a. Funds will be allotted to those meritorious projects that comply totally with the criteria established by FoPI and according to available funds.
- b. The Institutional Research Committee will recommend to the Dean for Academic Affairs the proposals evaluated favorably to participate of FoPI.
- c. The Dean for Academic Affairs will notify each professor in writing about the final decision regarding his/her proposal.
- d. The professor will have fifteen (15) days to request in writing from the Institutional Research Committee and the Dean for Academic Affairs a reconsideration of the decision.

DUTIES AND RESPONSIBILITIES OF THE INVESTIGATOR

1. Upon acceptance of the proposal, the investigator will submit to the Dean for Academic Affairs an official copy of his/her class program at the beginning of each academic semester to evidence that the academic load does not exceed fifteen (15) credits. FoPI will accept up to six (6) credits per project per academic year. These credits may be divided as follows:
 - a. Twelve (12) credits regular class load plus 3 credits for a FoPI project per academic semester
 - b. Nine (9) credits regular class load plus 6 credits for a FoPI project per academic semester
2. The investigator will comply with the objectives and work plan established in the proposal.
3. The investigator will present the results of his/her project at “Research Day” activities and will disseminate in conferences and in professional peer-reviewed journals.
4. The investigator will submit a final report within two months of completion of the proposal period. The report should adhere to the following format:
 - a. Introduction
 - b. Description of the project
 - c. Use of assigned funds
 - d. Achievements
 - 1) Public dissemination
 - a) Presentations
 - b) Conferences
 - c) Workshops
 - d) Others
 - 2) Student Participation
 - 3) Participation in “Investigation Day”

- 4) Publication in peer-reviewed journals
 - 5) Search for external funding
- e. Research findings
 - f. Recommendations

Note: Only those reports that adhere to the previously established format will be considered. The investigator will submit the original final report and two copies to the Dean for Academic Affairs.

INSTRUCTIONS FOR REQUEST FOR FUNDS

The application includes the following;

1. Form for Requesting Funds and Department Chair Endorsement Form (first two pages of the application, page 11 of this document).
2. Project Summary that includes objectives and methodology (maximum of one page).
3. A detailed description of the project. It should include:
 - a. Purpose and objectives. They should be specific and clearly expressed. Those projects that require it should include research question, hypothesis and expected results.
 - b. Justification of the importance of the research to the area of study, the department and the Institution.
 - c. Review of literature of the proposal's topic with quotations from related research and the contribution of each cited work (minimum of two pages).
 - d. Level of student participation. The investigator should develop a plan regarding student participation and duties and responsibilities of participating student (s).
 - e. Methodology. It should include a description of the procedure to be followed for the attainment of the proposal's objectives and a calendar of activities.
 - f. Installations. The investigator should describe the UPRH installations that he/she plans on using for the project. If it were necessary to conduct the research or creative work in laboratories or installations outside the UPRH, a specific justification must be provided as well as a letter of commitment from the corresponding authorities.
 - g. References. These should be up-to-date.
4. Work Plan. Follow the model included in the application.
5. Budget and its justification. See "Regulations for the Assignment of Funds" (page 3).

6. Curriculum Vitae of the principal investigator and co-investigators and letters of support from other investigators.
7. Investigators who request an extension must resubmit the application and include the project final report using the format established on page 9.
8. The applications of investigators who have been previously funded by FoPI must include copies of publications or evidence of efforts made in this respect. Applications should also include evidence of efforts made toward obtaining external funding.
9. A list of all projects funded concurrently or in the process of being approved, where the proponent is the principal investigator or co-investigator. For each project, include the title, funding agency, amount of funds approved or requested, duration of the project, and academic release time received or requested in the project.

CHECKLIST FOR FoPI PROPOSALS

	YES	NO
1. Includes form for signatures that accompanies the proposal		
2. Includes department chair endorsement		
3. Submits copy of progress reports of active or prior FoPI proposals, if applicable		
4. Submits a summary of the project (to be published on FoPI's website)		
5. Submits a description of the project, including activities and timetable (maximum of 5 pages)		
6. Includes up-to-date references		
7. Includes work plan for the duration of the proposal		
8. Submits detailed budget		
9. Includes budget justification		
10. Submits curriculum vitae of principal investigator and co-investigator		
11. Submits form for other projects funded concurrently or in the process of being approved, if applicable		
12. Includes list of three external evaluators (addresses, telephones, and e-mails)		
13. Submits three (3) copies of the proposal, in addition to the original document		

Final Report Format

1. Introduction
2. Description of the project
3. Use of assigned funds
4. Achievements
 - a. Public dissemination
 1. Presentations
 2. Conferences
 3. Workshops
 4. Others
 5. Student Participation
 - b. Participation in “Research Day” activities
 - c. Publication in peer-reviewed journals
 - d. Efforts made for obtaining for external funding
5. Research findings
6. Recommendations

**EVALUATION BY THE MEMBERS OF THE INSTITUTIONAL RESEARCH
COMMITTEE
CHECKLIST FOR FoPI PROPOSALS**

	YES	NO
1. Includes form for signatures accompanying the proposal		
2. Includes department chair endorsement		
3. Submits copy of progress reports of active or prior FoPI proposals, if applicable		
4. Submits a summary of the project (to be published on FoPI's website		
5. Submits a description of the project, including activities and timetable (maximum of 5 pages)		
6. Includes up-to-date references		
7. Includes work plan for the duration of the proposal		
8. Submits detailed budget		
9. Includes budget justification		
10. Submits curriculum vitae of principal investigator and co-investigator		
11. Submits form for other projects funded concurrently or in the process of being approved, if applicable		
12. Includes list of three external evaluators (addresses, telephones, and e-mails)		
13. Submits three (3) copies of the proposal, in addition to the original document		

Comments / Observations:

REQUEST FOR INVESTIGATION FUNDS¹

Date: _____

I. GENERAL INFORMATION

1. Title of the project: _____
2. New proposal: Extension (second year):
3. Your project has received FOPI sponsorship: Yes No Most recent date: _____
4. Budget requested: _____
5. Release time requested (maximum of 6 credits for the academic year): _____
_____ Semester _____ Academic Year

II. INVESTIGATOR/PRINCIPAL PROPONENT

- Name: _____
- Academic rank: _____
- Department: _____
- Investigators'/proponent's signature:

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III. NAME OF CO-INVESTIGATOR(S) / PROPONENT(S)

- _____
- _____
- _____

IV. SUPPORT/TECHNICAL PERSONNEL²

- _____
- _____
- _____

¹ All forms must be typewritten or on computer using letter size 12 pt. Double space should be used in those forms which so indicate.

² A description of the duties of the technical personnel to be hired is required. If he/she is a UPR-H employee, the endorsement from the employee's department or office must be submitted.

DEPARTMENT CHAIR ENDORSEMENT FORM

(Must be typewritten or on computer)

1. Title of the proposal: _____
2. Name of the investigator / proponent: _____
3. Department: _____

Please evaluate the proposal according to the following criteria and scale:

Grade/Scale

- (4) Outstanding – the proposal presents clear and precise explanations, presents strong arguments, identifies fundamental elements, offers information beyond the required format.**
- (3) Good – presents fairly complete explanations, presents solid arguments, provides and identifies most of the fundamental elements and offers information as required.**
- (2) Fair- presents explanations that reflect some confusion, presents confusing and incomplete arguments, identifies some fundamental elements, and offers incomplete information.**
- (1) Deficient – presents explanations that are confusing and imprecise, presents incomplete arguments, omits fundamental elements, and offers incomplete information.**
- (0) Unacceptable – presents confusing and incomplete explanations, presents explanations that are unrelated to the purpose of the proposal, omits all fundamental parts, and offers incorrect and incomplete information.**

Purpose and objectives	4	3	2	1	0
1. The project objectives are related to UPRH institutional goals and objectives.					
2. The proposed project is compatible with departmental objectives.					
3. The proposed project is compatible with the curricular objectives and responds to departmental needs.					
4. The proposed project is compatible with the proponent's professional development plan.					
5. The proposed project promotes student participation.					
6. The proposed project meets specific or emerging areas of the discipline represented by the proponent.					
7. The proposed project will be able to contribute to knowledge in the fields of science or the arts.					
8. The project has potential for obtaining external funds.					

Comments / Recommendations:

I certify that I commit to provide support to the applicant _____ for the development of this project, to provide access to the installations he/she needs, to approve the release time requested and to assign a maximum of 15 credits of academic load per semester including the release time for the project sponsored by FoPI.

Signature and endorsement of the Department Chair:

PROGRESS REPORT

This section will be completed by investigators who request an extension of FoPI funds. The progress report should include the following:

1. An explanation or description of the progress achieved in relation to the proposal's original objectives. If the original objectives of the proposal changed, explain or justify said change. Describe any difficulties encountered and how they affected the attainment of the proposal's objectives.
2. A description of the most important findings of the research up to the present and their relevance to the field of investigation of the proposal.
3. A list of all the students and investigators who have participated or collaborated in the project (institution and student number). Briefly describe the nature of the collaboration.
4. A list of presentations of the results obtained given by the investigators and students involved in the project. The list should include the title, institution, activity, and date.
5. A list of publications or articles relevant to the project submitted to peer-reviewed professional journals.
6. A description, if applicable, of any invention, patent, or related document which is a product of the research.
7. A list of applications for external resources related to your project. You should include the source of financing and the application date.

PROJECT DESCRIPTION

SUMMARY OF THE PROJECT WITH OBJECTIVES AND METHODOLOGY

DETAILED DESCRIPTION OF THE PROJECT

It should include the following: purpose and objectives, justification of its importance, review of literature, student participation, methodology, installations and references. It should not exceed five pages.³

REFERENCES (These should be the most recent.)

WORK PLAN (see page 16)

BUDGET (see page 17)

JUSTIFICATION (Explain clearly the need for the project relating it to each of the budget items (see page 18)

CURRICULUM VITAE (Include updated curriculum vitae of the principal investigator/proponent and the co-investigators of the project.

OTHER FUNDED PROJECTS (see page 19)

³ For additional instructions, consult item (3) of the section "Instructions for Request of Funds" on page 6 of this document.

WORK PLAN FOR THE DURATION OF THE PROPOSAL

ACTIVITY / TASK	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY

BUDGET

A. EQUIPMENT (Include an annex which justifies the acquisition of equipment)					
				Subtotal of A:	
B. MATERIALS, REACTIVES OR OTHERS					
<u>Description</u>	<u>Cost</u>	<u>Units</u>	<u>Total</u>		
1. Computer software					
2. Office materials					
3. Books and journals					
4. Reactives					
5. Others (specify)				Subtotal of B:	
C. TRIPS				Subtotal of C:	
D. PUBLICATION COSTS				Subtotal of D:	
E. SPECIALIZED SERVICES (List)					
1.					
2.					
3.					
				Subtotal of E:	
TOTAL BUDGET					
F. RELEASE TIME REQUESTED (semester and number of credits):					

BUDGET JUSTIFICATION

Explain clearly the need for the project relating it with each of the budget ítems.⁴

⁴ For additional instructions consult the "Regulations for the Assignment of Funds" on page 3 of this document.

OTHER CONCURRENT FUNDED PROJECTS OR IN THE PROCESS OF APPROVAL

Include a list of all concurrent funded projects or in the process of approval where you are the principal or co- investigator. For each project, include the title, funding agency, amount of funds approved or requested, duration of the project, and release time received from the project.

TITLE: AGENCY: AMOUND APPROVED OR REQUESTED: TIME OF THE PROJECT: RELEASE TIME RECEIVED FROM THE PROJECT:
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PROPOSAL EVALUATION FORM

(Please complete typed or on computer.) (2 pages)

1. Name of Evaluator: _____
2. Institution: _____
3. Signature:
4. Title of the proposal: _____
5. Name of principal investigator/proponent: _____
6. Name(s) of co-investigator(s)/proponent(s): _____

Please evaluate the proposal according to the following criteria and scale:

Grade/Scale

- (4) Outstanding – the proposal presents clear and precise explanations, presents strong arguments, identifies fundamental elements, offers information beyond the required format.**
- (3) Good – presents fairly complete explanations, presents solid arguments, provides and identifies most of the fundamental elements, and offers information as required.**
- (2) Fair- presents explanations that reflect some confusion, presents confusing and incomplete arguments, identifies some fundamental elements, and offers incomplete information.**
- (1) Deficient – presents explanations that are confusing and imprecise, presents incomplete arguments, omits fundamental parts, and offers incomplete information.**
- (0) Unacceptable – presents confusing and incomplete explanations, presents explanations that are unrelated to the purpose of the proposal, omits all fundamental parts, and offers incorrect and incomplete information.**

Purpose and objectives	4	3	2	1	0	Comments
<ul style="list-style-type: none"> • The purpose, objective and reach of the proposal are explained clearly and precisely. 						
<ul style="list-style-type: none"> • The objectives are stated in operational form. 						
<ul style="list-style-type: none"> • The objectives cover the concepts, purpose, and achievements to be attained with the proposal. 						
<ul style="list-style-type: none"> • The plan to achieve the proposed objectives is adequate. 						
Justification of the project						
<ul style="list-style-type: none"> • The need presented is related to the proposed purpose and objectives. 						
<ul style="list-style-type: none"> • The need or specific problem is justified with updated references that support the arguments presented. 						
<ul style="list-style-type: none"> • The curricular impact as it relates to the departmental and institutional goals is expressed clearly and precisely. 						
Review of literature						
<ul style="list-style-type: none"> • The review of literature is adequate and up-to-date. 						
Student participation						
<ul style="list-style-type: none"> • The proposal explains clearly and precisely student participation. 						
Methodology						
<ul style="list-style-type: none"> • The proposed methodology is related to the justification, purpose and objectives. 						
<ul style="list-style-type: none"> • The time programmed for each activity is adequate. 						
<ul style="list-style-type: none"> • The investigator or proponent is knowledgeable regarding the research methods or practices as proposed. 						
Budget						
<ul style="list-style-type: none"> • The budget justification relates to the proposal's description. 						
<ul style="list-style-type: none"> • The requested funds are adequate. 						
<ul style="list-style-type: none"> • The requested equipment and materials for the completion of the project are adequate. 						
<ul style="list-style-type: none"> • The proposal presents the possibility of obtaining external funds in the future. 						

Recommendation

Yes

No

b) I recommend without reserve support for this proposal

—

—

c) I recommend support for this proposal

—

—

d) I recommend a revision of this proposal

—

—

- Indicate specifically which areas should be revised.

Comments

We will appreciate your general impression of the proposal.

Signature: _____

Date: _____

Rev. Jan 2008