

**WABASH COLLEGE**

**Faculty Grants  
Manual**

**Policies, Procedures, and  
General Information**

**2014-2015**

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## Introduction

This compendium of information and procedures is meant to serve as an aid to members of the faculty as they initiate and prepare proposals for research projects, fellowships, conferences, seminars, performances, curricular innovations, and other special activities.

The administration wants to encourage and assist faculty as they seek sources of outside funding for research, scholarship, creative activities and programmatic purposes. The Dean of the College's Office has lead responsibility for supporting faculty in these endeavors. The Grants Office, located in the Kane House, maintains the College's database for all academic and institutional grants in addition to providing a variety of resources to Wabash grant-seekers. Both Associate Dean of the College Dr. Jon Jump (Center Hall Rm. 115, ext. 6206, [jumpj@wabash.edu](mailto:jumpj@wabash.edu)) and Grants Coordinator Deborah Woods, with responsibility for corporate and foundation relations, (Kane House Rm. 209, ext. 6092, [woodsde@wabash.edu](mailto:woodsde@wabash.edu)) are available to assist with research of funding sources, proposal writing, use of electronic submission, friendly reading and editing, approval of College matching funds, and pursuit of necessary signatures and support letters.

There are many faculty colleagues who have already sought and received grants from agencies to which the faculty are currently applying. Some colleagues have served on peer review panels; their expertise can be extremely helpful in proposal preparation. Both Jon Jump and Deborah Woods can identify those individuals, who will usually be willing to share experiences and advice.

### Document Explanations

- **Preliminary Grant/Fellowship Proposal Information Form** – Faculty members thinking about writing a proposal should complete and submit the Preliminary Proposal Form in order to prompt assistance. (See page 28.)
- **Proposal Needs Checklist for External Applications** – Faculty members preparing to submit a proposal should fill out this form and, along with a copy of the proposal, should provide it to the Dean of the College and Grant Coordinator's offices. (See page 29.)
- **Information Form for Fellowship Application** – Because the College wants to acknowledge grantsmanship as a form of faculty scholarship activities, please submit this form to the Dean of the College and Grant Coordinator's offices whenever you apply for a Fellowship. (See page 31.)

## I. Wabash College Research Policy

The education of undergraduate men, from the acquisition of knowledge and skills to the development of qualities of mind and character, is central to the mission of the College. The maintenance of an excellent faculty is crucial to that mission. For Wabash College, a community of teacher-scholars sustains excellence. Effective teacher-scholars support the mission of the College through excellent and innovating teaching, continued scholarship and creative work, and leadership in the life of the community.

First and foremost, faculty continuously achieve excellence in teaching in all its forms and settings, whether in lectures, in small group or individual discussions, in laboratory or studio work, or in office conferences. Wabash faculty are reflective about the processes of teaching and learning, annually assessing student outcomes, and improving their effectiveness as teachers. While faculty focus primarily on their own disciplines, their interests and abilities extend beyond a particular field, leading to involvement in all-college courses, co-curricular and extra-curricular activities, and the broader intellectual life of the College.

Wabash faculty share a commitment to sustained intellectual growth through continued scholarship or creative work. While the nature of this work varies by discipline, and may change during the course of a career, a common feature is that at least some of it will extend beyond the institution such that it contributes to the world of scholarship or fine arts outside the College. Research and creative activity should not compete with or detract from excellence in teaching. Rather, they enhance and complement teaching by engaging students, directly or indirectly, in the search for new knowledge and understanding, synthesis, and application.

Wabash provides leaves for faculty at specific intervals so that they may concentrate on particular scholarly projects. Additionally, the Professional Development Committee provides modest grants for research activities and for faculty development expenses. The Advancement Office and the Dean of the College's Office assist faculty with preparation of grant proposals for federal, state, and other appropriate agencies and foundations. The College encourages research on all subjects and refrains from any kind of institutional judgment or censorship. The quality of the research is judged solely by professional standards.

Faculty members who wish to submit grant and foundation proposals that need institutional acknowledgment are urged to discuss applications with department chairs and the Grants Coordinator Deborah Woods (Kane House, ext. 6092, [woodsde@wabash.edu](mailto:woodsde@wabash.edu)). Before the deadline, the *Proposal Needs Checklist for External Applications* (page 29) must go through administrative routing. Any proposal that requires matching funds or special allocation of space must be negotiated with the proper internal administrative officials before approval for submission will be granted. Proposals which include sabbatical leave or leaves of absence must be requested by October 1 of the year preceding the leave. (See the Faculty Handbook for details on sabbatical leave.) Faculty members are encouraged to begin the proposal process early in order to facilitate approval. Fellowship applications should be discussed with department chairs and reported to the Grants Coordinator; application for fellowship leaves must also be approved by the Dean and the Department Chair by October 1 of the year preceding the fellowship. (See page 31 for *Information Form for Fellowship Application*)

The College complies with all federal regulations and has the following assurances filed with the Department of Health and Human Services (DHHS): civil rights, misconduct in science, handicapped individuals, sex discrimination, age discrimination, and drug-free workplace. In addition, the College has two committees which handle all internal approval for research with animals and human subjects. The Institutional Review Board reviews and evaluates faculty and student campus research projects that involved the collection of information from human participants, including those originating as class projects or independent research (see section IV.C.). The Animal Welfare Committee oversees the institution's animal program, facilities, and procedures. Both committees include external professionals not affiliated with the College. Please refer to the Institutional Review Board or the Animal Welfare Committee for the complete policy and appropriate forms.

Faculty members who are awarded grants from external funding sources are to share the award announcement, reporting requirements, and deadlines with the Dean's Office and the Grants Coordinator, who will, if the faculty member wishes, prompt him or her for reports at agreed upon times. The faculty member is to file all interim and final reports in a timely and orderly fashion, and provide copies of those reports to the Dean's Office and the Grants Coordinator. In addition, faculty members are required to work closely with the Director of Accounting Services in the Business Office to set up the grant account and adhere to the approved expenditures of budget funds. While some flexibility is allowed between budget categories, it is imperative that all activities related to the grant be carried out in a manner which will enhance the reputation of the individual and the College.

All major equipment awarded to the College through external funding remains the possession of the institution, unless otherwise negotiated. Decisions concerning individual cases will be handled as they arise.

The College encourages faculty members to avail themselves of all opportunities for scholarship. The administration welcomes formal and informal discussion of projects and research ideas and is committed to a policy of support for such endeavors.

## **II. Grant Opportunities**

There are many sources of funding for faculty at Wabash College. These opportunities exist both internally and externally.

### **A. Sources of Internal Support<sup>1</sup>**

#### ***1. Faculty Development Funds***

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<sup>1</sup> Refer to the Faculty Handbook for complete details regarding these resources

Every faculty member approaches his or her faculty development differently and should discuss this annually with his or her department chair. The College offers support in several specific ways:

- a. Updating and expansion of computer hard- and software, allowing access to electronic databases and Internet;
- b. Funds from the Dean of the College's office for most of the expenses for professional meetings up to a total of \$2,000 per faculty member per year;
- c. Access to *Coss Faculty Development* funds, the distribution of which is based on colleagues' judgment of individual proposals;
- d. Research and summer stipends for all initial *Byron K. Trippett Assistant Professorships*;
- e. The *McLain-McTurnan-Arnold Research Scholar Program* , a semester award determined by faculty colleagues' evaluation of proposals that involve original investigative work, broadly defined;
- f. The *Summer Internship Program* in all three collegiate divisions;
- g. A generous sabbatical leave program with faculty replacement, that sustains a department's academic responsibilities while allowing the individual on leave to address directly research and development goals;
- h. Staff assistance from the Advancement Office and the Dean of the College's Office in identifying potential funding sources and in writing grant proposals to support annual as well as sabbatical research or creative work;
- i. *Wabash Center for Teaching and Learning in Theology and Religion* offers grants for "activities that enhance teaching and learning in the fields of religion and theology". Small project grants (up to \$2,500) can be approved anytime throughout the year. Project grants (up to \$20,000) are awarded twice a year with application deadlines of March 1 and October 1. See their website for details: <http://www.wabashcenter.wabash.edu/grants/default.aspx> ; and
- j. *Endowed departmental funds* are available in some departments to support research and creative activity. Talk with the Department Chair to determine whether there are such funds available.

## **2. Course Development Funds**

- a. *John J. Coss Course Development Funds* - Administered by the Faculty Development Committee, proposals "reasonably advancing the professional development of a faculty member or the pedagogical mission of the College will

receive full consideration.” All continuing faculty and associated faculty are eligible to apply for funds.

- b. *Immersion Learning Trip Support* – “Wabash College Immersion Trips provide opportunities for faculty and students to move beyond the campus classroom. Immersion trips expand the universe of our students, sustain and enrich their learning environment, reinforce core values, and advance the College’s mission.” Continuing faculty members are eligible to submit immersion learning trip proposals to the Off-Campus Study Committee, in care of Faculty Coordinator for Off-Campus Study Greg Redding ([reddingg@wabash.edu](mailto:reddingg@wabash.edu)) by the announced due dates. See the Wabash College Immersion Handbook for details.

## **B. External Grants**

There are many sources of external funding for faculty, which can be broken down into several categories. The *Web Sites for Fellowship and Grant Resources* found in VII. Additional Resources (page 33) includes a sample list of those who offer this kind of assistance.

1. *Federal agencies* – the federal government has large funding agencies devoted to specific clusters of disciplines. Among those in the sciences, for example, are the National Science Foundation and the National Institutes of Health. The largest agency for the Humanities is the National Endowment for the Humanities. The National Endowment for the Arts serves individuals and organizations in all branches of artistic endeavor. Other opportunities for higher education include the Departments of Education, Energy, Homeland Security, and Office of Naval Research. Each of these agencies has a multitude of divisions and programs. It is important to read the latest guidelines in order to identify the program most suitable for a given project. It is also important to talk with the Dean of the College about your funding idea to ensure that the proposal complies with the College’s policy regarding funding from federal grants to support the basic operations of the College.
2. *State agencies* – Several state agencies maintain granting programs, including the Indiana Humanities Council, the Indiana Arts Commission, and the Indiana Academy of Science. Again, it is important to talk with the Dean of the College to ensure that the proposal does not violate Wabash’s restrictions on using funding from state grants to support the basic operations of the College.
3. *Foundations* – A number of foundations offer research fellowships to faculty. Among these are the Getty, Guggenheim, and Sloan Foundations, American Antiquarian Society, American Council of Learned Societies (ACLS), American Philosophical Society, as well as the Research Corporation for Science Advancement, Stanford Humanities Center, Woodrow Wilson National Fellowship Foundation, and the Carter G. Woodson Institute for African-American and African Studies. This list is certainly not exhaustive. Faculty looking for support should contact the Grants Coordinator to discuss the project and access to additional funding resources.



### **C. Wabash College Policy on Seeking State and Federal Funding**

Wabash encourages individuals to seek funding from state or federal sources for research or sabbatical leave funding. If a proposal is departmental, divisional, or institutional, the Dean of the College will want to discuss it with the faculty member(s) involved. The College has chosen to avoid relying on government funds for general operation – curriculum, physical plant, or equipment – though there are some recent exceptions. Faculty members are urged to talk early with the Dean to determine whether he/she thinks the College can support a federal proposal so that the faculty member does not spend valuable time preparing a proposal to a funding source which the College would have to refuse.

## **III. Advancement Office Assistance**

### **A. Personnel**

The Grants Coordinator is responsible for corporate and foundation relations at Wabash College. He/she will submit applications to private foundations and corporations, and in some cases, federal or state agencies, with the approval of the Advancement Office and Dean of the College or the President. The Grants Coordinator advises and assists the faculty in the development and submission of grant proposals. Faculty members wishing to seek funding from corporations or foundations need to apprise her/him so that efforts between institutional and faculty grants are not submitted to the funding sources simultaneously.

Among the Grant Coordinator's responsibilities are:

- 1) To aid faculty and staff in the development, preparation, and submission of proposals for grants, fellowships, and projects (including conferences, performances, lecture series, seminars, etc.) - This assistance includes editing, reviewing, budget review, and assistance with institutional procedures;
- 2) To assist in identifying and researching those private foundations, corporations, and in some cases, federal or state agencies, that are potential funding sources for a particular project;
- 3) To serve as liaison officer with funding agencies for proposals submitted by faculty, maintaining communications with the funding agency while a proposal is being reviewed, as needed;
- 4) To assist as appropriate the negotiation of grants and contracts with fiscal officers at funding agencies, along with the Director of Accounting Services;
- 5) To serve as a liaison as needed between faculty and the Business Office, which will administer grant budgets after agency approval;

- 6) To conduct periodic workshops for the purpose of disseminating current grant information to the faculty;
- 7) To provide current information about grant opportunities through periodic targeted notices;
- 8) To develop relationships with personnel in funding agencies in order to keep abreast of current developments and funding opportunities; and
- 9) To establish and maintain an informational clearinghouse for all Wabash grants and to assist in the monitoring of grant reports and budgets.

NOTE: Advance planning is often the most difficult aspect of grant application. Almost all grant programs have deadlines. Some applications must be filed a year prior to the start of the fellowship or grant. Faculty are encouraged to begin investigating potential sources of funding well in advance of expected deadlines.

## **B. Resources**

The Grants Coordinator subscribes to a number of written and electronic databases and journals that provide notices of funding opportunities. They also serve as sources in which to identify potential funding for various projects that faculty identify.

## **C. Additional Web Sites**

Several examples of foundations and organizations that offer funding to individuals and institutions of higher education through grants and fellowships are available on page 33.

# **IV. Institutional Procedures**

## **A. Application/Proposal Submission**

In order to maintain an orderly procedure for the submission of grants and fellowships, the College has instituted a sign-off process for any grants and/or fellowships that require institutional approval (see *Proposal Needs Checklist for External Applications Form*). The form is available from the Grants Coordinator, the Dean's Office, in the faculty handbook, in the Faculty Grants Manual, and may be downloaded from MyBash Faculty/Staff Resources.

The following steps will facilitate the development and submission of an application/proposal:

- 1) The faculty member should submit the *Preliminary Grant or Fellowship Proposal Information Form* notifying the Grants Coordinator (who will share this with the Dean's Office) that you are working on a proposal. This also alerts the appropriate offices that you will need assistance with finding funding sources, writing the proposal, or with signatures or support letters before submission.

2) Once a funding source has been identified and a rough draft of the proposal is underway, the faculty member should fill out the *Proposal Needs Checklist for External Applications Form*. This form will provide guidance to the faculty member about who needs to know about elements of the proposal such as matching requirements, hiring of personnel, and space requirements. It also assures that the department chair, the Grants Coordinator, and the Dean's Office are aware that a proposal is in process. We recommend that you begin this process in a timely way so that the Grants Coordinator has several days to read the proposal and sign off and so that the Dean has at least a week to sign off. (Remember that both of these individuals have travel schedules that may take them out of the office on the exact day you may need the signature, if you wait too long!)

### **B. College Policy on Financial Conflict of Interest for Public Health Service-Funded Research and National Science Foundation-Funded Grants**

Federal regulations require the College to have in place a policy and procedure concerning financial conflict of interest (FCOI) related to Public Health Service-funded research, including the National Institutes of Health (NIH), and National Science Foundation (NSF)-funded grants as a condition for receiving PHS/NIH and NSF grants. The aim is to assure the objectivity with which research projects are designed, conducted, or reported by managing financial conflicts of interest that occur between an investigator's personal financial interests and his/her professional research interests. This policy establishes a process of disclosure and independent review when an investigator has significant financial interests that might affect the objectivity of the research being conducted. All faculty must complete FCOI training prior submitting a proposal for a PHS/NIH or NSF grant. The complete policy, training process, and disclosure form are found on pages 15-27.

### **C. Internal Review Board**

“Wabash College is committed to safeguarding the welfare, rights and privacy of all persons who participate as subjects in research projects conducted under its auspices, and to ensuring that the subjects of such research are aware of the rights and the protections available to them. Moreover, the College is required to assure the federal government that such safeguards are being provided and enforced for all federally funded grants.

The Institutional Review Board (IRB) is the body charged with reviewing and approving all proposed research involving human subjects, whether funded or not, conducted under the auspices of Wabash College by its faculty, students or staff, or by outside investigators using Wabash College students, personnel, facilities, or data collected at the College. "Research" is defined as "systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalized knowledge" (45 CFR 46.102d). Research subject to review thus includes, but is not limited to: pilot studies; class projects aimed for publication; Master's theses; Ph.D. dissertations; co-supervised work; independent research; and senior theses, whether such research takes place on or off the Wabash College campus, including work done outside of the United States.

Federal regulations also require that all faculty, students and staff who are engaged in human subjects research certify to the IRB that they have completed a program of training in the ethics and best practice of human subjects research before their research protocol can be approved. Wabash's IRB requires completion of online training provided by the National Institutes of Health – <http://phrp.nihtraining.com/users/login.php>

Please refer to the Institutional Review Board's website, <http://www.wabash.edu/irb/>, for all details regarding the review process.

#### **D. Records and Reports**

Applying for external support is an important evidence of scholarship and creative activity. For that reason, the Dean's Office maintains a copy of each submitted proposal or application, budget information, and all correspondence with the granting agency. Similarly, because the College is ultimately responsible for all grants awarded to the institution and to individuals within it, the Grants Coordinator is required to maintain files of submitted proposals, grant awards made and reports submitted. Once a faculty member has received a grant, the Grants Coordinator will send a copy of the grant proposal and award letter to the Business Office to set up the grants budget and for auditor's records.

Although **fellowship** applications generally do not require institutional approval, faculty members should inform the Grants Coordinator when submitting such applications. If a fellowship is awarded, the Grants Coordinator can notify the Public Affairs Office so that they can publicize it internally and externally. Faculty should also use the form to facilitate a conversation with his/her Department Chair and the Dean of the College, since leaves are dependent on staffing arrangements and require serious curricular considerations.

It is also important to keep the Grants Coordinator up to date on the status of all grant proposals, both for tracking purposes and for identification of checks and award letters which come to the President's Office.

### **V. Budgets and Financial Accounting**

#### **A. Current Budget Information for Budget Preparation**

1. Indirect rate – Wabash College does not currently have a federal negotiated indirect rate and typically does not include overhead in grant proposals. Items like postage, supplies, and telephone should be line items, but items like computer services and time, library services, and space are normally College contributions to the grant and may be listed as “in-kind” contributions.
2. Summer Salary – Faculty members may request salary/stipend support for summer months calculated as allocated by the program for which they are applying. The total figure budgeted for the salary/stipend should include the employer-paid fringe benefits. For example, a \$1000 salary/stipend including employer-paid benefits would be included in the budget as \$1350.

3. Benefit Percentages – when preparing the budget for a grant application, check the most current benefit rates with the Director of Human Resources. Each situation is unique and will be evaluated individually.
4. Student Workers – When listing student workers, budget for the entire salary expense in the event that the students hired are not *Wabash Internships and Student Employment* (WISE). Student research assistants should be budgeted at a total stipend of \$3,516<sup>2</sup>, representing forty hours per week for eight weeks. Include an additional 7.65% of the salary for FICA expenses for summer student workers. Remember to budget for summer housing for students at least \$5/day.

## **B. Salary and Benefit Administration for Grant-Funded Administrative Staff Positions**

1. Grant funding must cover the cost of all salary and benefits. Benefit eligibility for a grant-funded position is determined through consultation with the Grants Coordinator and the Director of Human Resources. If necessary, the Director of Human Resources will consult with the Colleges Chief Financial Officer.
2. Grant-funded positions with approved benefit eligibility will follow the same benefit schedule and utilize the same criteria as those in place for other regularly budgeted College positions.
3. Grant-funded positions which are of a six-month duration or more, and which are scheduled for half-time work or more, should be considered benefit eligible unless at the time of grant award it is established that benefits specifically are excluded.
4. Hiring of personnel for grant-funded positions must follow normal College procedures re: creation of job description, advertising, recruiting, offers of employment, rate of pay, etc. Advertising for grant-funded positions will be charged against the grant.
5. The appointment letter for administrative staff hired for grant-funded positions may not be issued by faculty. Letters of appointment are issued by the President.

## **C. Post-Award Administration**

Director of Accounting Services Cindy Snellenbarger ( [snellenc@wabash.edu](mailto:snellenc@wabash.edu) ) supervises the financial post-award administration. Administrative responsibilities include:

1. Complete quarterly and final financial reports required by federal agencies;
2. Prepare periodic reports for Principal Investigator (P.I.) or Grant Administrator as required by the funding agency; and
3. Prepare financial reports as needed for institutional grants.

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<sup>2</sup> Rates are subject to change each year

#### **D. Faculty Responsibilities Concerning Grant Accounting**

1. As soon as the Principal Investigator receives the grant award notice he/she must meet with the Director of Accounting Services to ensure the establishment of a grant account and receive the current guidelines for monitoring the budget activity.
2. It is the responsibility of the Principal Investigator to provide the granting agency with progress reports on a timely basis, as required.
3. All faculty members will comply completely with the conditions of the grants awarded, and all disbursements will be made for the purposes and conditions of the awards. The College signs statements annually verifying the accuracy of the compliances.
  - a. The federal government has been conducting an increasing number of audits in order to diminish the number of grant fraud cases. It is essential, therefore, that faculty members document all expenses, using usual College procedures for filing those expense reports.

# VI. Policies And Forms

# **Wabash College Policy On Financial Conflicts Of Interest In Public Health Service- and National Science Foundation-Funded Research**

## **I. Policy and General Principles**

This Policy implements federal disclosure requirements pertaining to objectivity in research promulgated by the U.S. Public Health Service (PHS) in 42 CFR Part 50 and 45 CFR Part 94. These federal regulations require Wabash College to maintain an appropriate written policy on financial conflict of interest disclosure as a condition for receiving PHS grants. These federal requirements, as implemented in this Policy, are applicable to all proposals for PHS funding. The National Science Foundation (NSF) has also issued a Policy on Financial Conflict of Interest in its Award and Administration Guide at Chapter IV.A. containing parallel requirements.

All Wabash College Investigators must also carry out Research consistent with the standards in the Faculty Handbook and all other applicable Wabash College policies. As required by the federal regulation, all Investigators must complete training prior to submitting a proposal to PHS/NIH-funded research programs as outlined in this policy (VII.) and submit the appropriate forms. As required by Wabash College, all Investigators must complete training prior to submitting a proposal to NSF-funded research programs as outlined in this policy (VII.) and submit the appropriate forms.

## **II. Purpose and Scope of Policy**

### **A. Purpose**

The goal of this Policy is to assure the objectivity with which Research projects are designed, conducted or reported by managing financial conflicts of interest that occur between an Investigator's personal financial interests and his or her professional Research interests.

This Policy establishes a process of disclosure and independent review when an Investigator (as defined below) has Significant Financial Interest(s). When Wabash College determines that such an interest might reasonably appear to affect the Research directly and significantly, Wabash College will take steps to manage or to eliminate the conflict.

### **B. Scope**

This Policy applies to Research projects for which Wabash College submits a proposal to, or receives research funding from, PHS or NSF. This Policy sets forth requirements that each Investigator who is planning to participate in, or is participating in such Research, must follow; provided, however, that this Policy does not apply to SBIR (Small Business Innovation Research) Program Phase I applications.



### **III. Disclosure of Financial Interests**

When an Investigator has a Significant Financial Interest, a written Significant Financial Interest Disclosure Form (Disclosure Form; located in Appendix B) detailing that interest is required. When an Investigator does not have a Significant Financial Interest, the Investigator must still complete the Disclosure Form but can check the box stating that no Significant Financial Interest exists.

Each investigator must also update his or her financial disclosures by completing a new Disclosure Form. This update must occur either annually or as new Significant Financial Interests are obtained throughout the period of the award (see Section IV, Part F of this Policy).

### **IV. Definitions**

#### **A. Investigator**

Any individual responsible for the design, conduct, or reporting of Research funded by the PHS or NSF. This includes the Principal Investigator, Co-Investigators, and any other individual, regardless of title or position, who is responsible for designing, conducting, or reporting of this Research.

#### **B. Research**

Research means a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge relating broadly to the greater scientific world and public health, including behavioral and social-sciences research. The term encompasses basic and applied research (e.g., a published article, book or book chapter) and product development (e.g., a diagnostic test or drug).

#### **C. Dean of the College**

An official designated by Wabash College to solicit and review completed Disclosure Forms from each Investigator who is planning to participate in, or who is participating in, PHS- or NSF-funded Research and to determine whether any reported Significant Financial Interest is a Financial Conflict of Interest.

#### **D. PHS Awarding Component**

PHS Awarding Component means the organizational unit of the PHS that funds the Research.

#### **E. Significant Financial Interest**

Significant Financial Interest means either of the following:

1. Any interest of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities, including, but not limited to, one or more of the following:
  - a) With regard to any publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
  - b) With regard to any non-publicly traded entity, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse or dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or
  - c) Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
2. Investigators also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

The term Significant Financial Interest does not include the following types of financial interests: salary, royalties, or other remuneration paid by Wabash College to the Investigator if the Investigator is currently employed or otherwise appointed by Wabash College, including intellectual property rights assigned to Wabash College and agreements to share in royalties related to such rights; income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a

medical center, or a research institute that is affiliated with an Institution of higher education; or income from service on advisory committees or review panels for a Federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education.

#### **F. Financial Conflict of Interest (FCOI)**

A Financial Conflict of Interest (FCOI) is a Significant Financial Interest that could directly and significantly affect the design, conduct or reporting of PHS- or NSF-funded Research.

#### **G. Update of Disclosure of Financial Interests**

Each Investigator must complete a new Disclosure Form either annually or whenever he or she acquires a new Significant Financial Interest that was not listed in the original Disclosure Form, whichever occurs first.

### **V. Disclosure Requirement**

Each Investigator who is planning to participate in PHS- or NSF-funded Research is required to disclose to the Wabash College Reviewing Official the Investigator's Significant Financial Interests (and those of the Investigator's spouse and dependent children) no later than the time of application for PHS- or NSF-funded Research. Each Investigator must do so by completing the Disclosure Form.

Each Investigator who is participating in PHS- or NSF-funded Research is required to submit an updated Disclosure Form either within 30 days of discovering or acquiring a new Significant Financial Interest, or at least on an annual basis (yearly at the close of the fiscal year, June 30<sup>th</sup>), during the period of the PHS or NSF funding award.

### **VI. Review of Disclosures and Management of FCOIs**

- A. Initial review and Management:** Prior to Wabash College's expenditure of any funds under a PHS- or NSF-funded Research project, the Wabash College Reviewing Official will review all Investigators' Disclosure Forms; determine whether any Significant Financial Interests relate to PHS- or NSF-funded Research; determine whether a FCOI exists; and, if so, develop and implement a management plan that specifies the actions that have been, and will be, taken to manage such FCOI.
- B. Review and management in the course of a PHS- or NSF-funded Research project:** Whenever, in the course of an ongoing PHS- or NSF-funded Research project, (1) an Investigator who is new to participating in the Research project discloses a Significant Financial Interest; (2) an existing Investigator discloses a new Significant Financial Interest; or (3) Wabash College identifies a Significant Financial Interest that was not disclosed timely by an Investigator or, for whatever reason, was not

previously reviewed by Wabash College during an ongoing PHS- or NSF-funded Research project, the Wabash College Reviewing Official will, within sixty days: review the disclosure of the Significant Financial Interest; determine whether it is related to PHS- or NSF-funded Research; determine whether a FCOI exists; and, if so, implement, on at least an interim basis, a management plan that specifies the actions that have been, and will be, taken to manage such FCOI. Depending on the nature of the Significant Financial Interest, Wabash College may determine that additional interim measures are necessary with regard to the Investigator's participation in the PHS- or NSF-funded Research project between the date of disclosure and the completion of Wabash College's review.

- C. Examples of management: Examples of conditions or restrictions that may be imposed to manage an FCOI include, but are not limited to:
1. Public disclosure of the FCOI;
  2. For Research projects involving human subjects, disclosure of the FCOI directly to participants;
  3. Appointment of an independent monitor capable of taking measures to protect the design, conduct and reporting of the Research against bias resulting from the FCOI;
  4. Modification of the research plan;
  5. Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the Research;
  6. Reduction or elimination of the financial interest; or
  7. Severance of relationships that create financial conflicts.
- D. Additional requirements for Retrospective Review: In addition to the above requirements, whenever an FCOI is not identified or managed in a timely manner including failure by the Investigator to disclose a Significant Financial Interest that is determined by Wabash College to constitute an FCOI; failure by Wabash College to review or manage such an FCOI; or failure by the Investigator to comply with an FCOI management plan, Wabash College will, within 120 days of Wabash College's determination of noncompliance, complete a retrospective review of the Investigator's activities and the PHS- or NSF-funded Research project to determine whether any PHS- or NSF-funded Research, or portion thereof, conducted during the time period of the noncompliance, was biased in the design, conduct, or reporting of such Research.

Wabash College is required to document the retrospective review, including all of the following key elements: (1) Project number; (2) Project title; (3) PD/PI or contact

PD/PI if a multiple PD/PI model is used; (4) Name of the Investigator with the FCOI; (5) Name of the entity with which the Investigator has an FCOI; (6) Reason(s) for the retrospective review; (7) Detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed); (8) Findings of the review; and (9) Conclusions of the review.

Based on the results of the retrospective review, if appropriate, Wabash College will update the previously submitted FCOI report, specifying the actions that will be taken to manage the FCOI going forward. If bias is found, Wabash College will notify the PHS Awarding Component or NSF promptly and submit a mitigation report to the PHS Awarding Component or NSF. The mitigation report must include, at a minimum, the key elements documented in the retrospective review above and a description of the impact of the bias on the Research project and Wabash College's plan of action or actions taken to eliminate or mitigate the effect of the bias (e.g., impact on the Research project; extent of harm done, including any qualitative and quantitative data to support any actual or future harm; analysis of whether the Research project is salvageable). Thereafter, Wabash College will submit FCOI reports annually. Depending on the nature of the FCOI, Wabash College may determine that additional interim measures are necessary with regard to the Investigator's participation in the PHS- or NSF-funded Research project between the date that the FCOI or the Investigator's noncompliance is determined and the completion of Wabash College's retrospective review.

- E. Monitoring:** Whenever Wabash College implements a management plan, Wabash College will monitor Investigator compliance with the management plan on an ongoing basis until the completion of the PHS- or NSF-funded Research project.

## **VII. Training**

- A.** Each Investigator (as defined by the regulation in IV.A.), including sub-recipient Investigator(s), must complete training (Appendix A) prior to submitting a proposal to PHS/NIH- or NSF-funded research programs, engaging in PHS/NIH- or NSF-funded research, at least every four years, and immediately under the designated circumstances:
1. Institutional Financial Conflict of Interest policies change in a manner that affects Investigator requirements;
  2. An Investigator is new to an Institution; or
  3. An Institution finds that an Investigator is not in compliance with the Institution's Financial Conflict of Interest policy or management plan.

## **VIII. Reporting of Financial Conflicts of Interest**

- A. Initial FCOI Report:** Prior to Wabash College's expenditure of any funds under a PHS- or NSF-funded Research project, Wabash College will provide to the PHS Awarding Component or NSF an FCOI report regarding any Investigator's Significant Financial interest found by Wabash College to be an FCOI and ensure that

Wabash College has implemented a management plan in accordance with Section VI of this Policy. In cases in which Wabash College identifies an FCOI and eliminates it prior to the expenditure of PHS- or NSF-awarded funds, Wabash College does not need to submit an FCOI report to the PHS Awarding Component or NSF.

- B. Subsequent FCOI Reports:** For any Significant Financial Interest that Wabash College identifies as conflicting after Wabash College's initial FCOI report during an ongoing PHS- or NSF-funded Research project, Wabash College will provide to the PHS Awarding Component or NSF, within sixty days, an FCOI report regarding the FCOI and ensure that Wabash College has implemented a management plan in accordance with Section VI of this Policy and, if required, a retrospective review and a mitigation report according to Section VI of this Policy.
- C. Contents of an FCOI report:** Any FCOI report required under paragraphs A or B of this Section VII will include sufficient information to enable the PHS Awarding Component or NSF to understand the nature and extent of the financial conflict, and to assess the appropriateness of Wabash College's management plan. Elements of the FCOI report will include, but are not necessarily limited to the following:
1. Project number;
  2. PD/PI or Contact PD/PI if a multiple PD/PI model is used;
  3. Name of the Investigator with the FCOI;
  4. Name of the entity with which the Investigator has an FCOI;
  5. Nature of the financial interest (e.g., equity, consulting fee, travel reimbursement, honorarium);
  6. Value of the financial interest (dollar ranges are permissible: \$0–\$4,999; \$5,000–\$9,999; \$10,000–\$19,999; amounts between \$20,000–\$100,000 by increments of \$20,000; amounts above \$100,000 by increments of \$50,000), or a statement that the interest is one whose value cannot readily be determined through reference to public prices or other reasonable measures of fair market value;
  7. A description of how the financial interest relates to the PHS- or NSF-funded Research and the basis for Wabash College's determination that the financial interest conflicts with such Research; and
  8. A description of the key elements of Wabash College's management plan, including:
    - a. Role and principal duties of the conflicted Investigator in the Research project;

- b. Conditions of the management plan;
- c. How the management plan is designed to safeguard objectivity in the Research project;
- d. Confirmation of the Investigator's agreement to the management plan;
- e. How the management plan will be monitored to ensure Investigator compliance; and
- f. Other information as needed.

**D. Annual FCOI Report:** For any FCOI previously reported by Wabash College with regard to an ongoing PHS- or NSF-funded Research project, Wabash College will provide to the PHS Awarding Component or NSF an annual FCOI report that addresses the status of the FCOI and any changes to the management plan for the duration of the PHS- or NSF-funded Research project. The annual FCOI report will specify whether the FCOI is still being managed or explain why the FCOI no longer exists. Wabash College will provide annual FCOI reports to the PHS Awarding Component or NSF for the duration of the project period (including extensions with or without funds) in the time and manner specified by the PHS Awarding Component or NSF.

**E.** Whenever the College determines that it is unable to satisfactorily manage a conflict of interest for NSF-funded research, it will, as required by NSF, inform the NSF office of the General Counsel electronically via the NSF Fastlane system.

## **IX. Enforcement**

**Failure to comply with this Policy, including failure to file a complete or timely Disclosure Form or update or to comply with any conditions or restrictions imposed on the conduct of the project under this Policy, including a management plan, will be grounds for discipline up to and including termination.**

In addition, if the failure of an Investigator to comply with this Policy or an FCOI management plan appears to have biased the design, conduct, or reporting of the PHS- or NSF-funded Research, Wabash College is required to promptly notify the PHS Awarding Component or NSF of the corrective action taken or to be taken. The PHS Awarding Component or NSF will consider the situation and, as necessary, take appropriate action, or refer the matter to Wabash College for further action, which may include directions to Wabash College on how to maintain appropriate objectivity in the PHS- or NSF-funded Research project.

In addition, federal regulations may require reports to the federal sponsor of any information which may show a violation of Wabash College policy. Sponsors may impose special award conditions or may suspend or terminate the award and/or debar an

Investigator from receiving future awards in the event of failure to comply with applicable federal regulations on disclosure, review, and management of Significant Financial Interests related to federally sponsored projects.

**X. Records**

Records regarding Disclosure Forms, the Wabash College Reviewing Official's determinations, and Wabash College actions regarding management of an FCOI will be retained by Wabash College for three years beyond the date of the final expenditure report submitted to PHS or NSF under an award. (These records will be kept by the Dean of the College Office in both the personnel and grant files.)



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**~ What to Do Next ~**

**FCOI Training Information**

**And**

**Significant Financial Conflict of Interest Disclosure Form**

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## Appendix A

### **Wabash College Financial Conflict of Interest Policy Training**

1. Read the Wabash College Policy on Financial Conflicts of Interest in Public Health Service- and National Science Foundation-Funded Research
2. Complete the U.S. Department of Health and Human Services, Office of Extramural Research – National Institutes of Health FCOI online Tutorial, found at <http://grants.nih.gov/grants/policy/coi/tutorial2011/fcoi.htm>
3. Upon completion of the online tutorial, prepare and save/print a copy of the Tutorial Certificate of Completion.
4. Complete the Significant Financial Conflict of Interest Disclosure Form (found in Appendix B).
5. Submit both the Tutorial Certificate of Completion and the completed Significant Financial Conflict of Interest Disclosure Form to the Dean of the College's Office and a copy to the Grants Office prior to submitting your application to NIH or NSF.

#### Additional Resources:

1. FCOI Frequently Asked Questions - [http://grants.nih.gov/grants/policy/coi/coi\\_faqs.htm](http://grants.nih.gov/grants/policy/coi/coi_faqs.htm)
2. Financial Conflict of Interest Presentation with Case Studies – [http://grants.nih.gov/grants/policy/coi/FCOI\\_NIH\\_Regional\\_Seminar-June\\_22\\_2012.ppt](http://grants.nih.gov/grants/policy/coi/FCOI_NIH_Regional_Seminar-June_22_2012.ppt). These slides provide an overview of the Federal FCOI regulation provided at (on *Promoting Objectivity in Research* that was presented at the NIH Regional Seminar in Washington, DC on June 22, 2012.

**Significant Financial Interest Disclosure Form**

This Disclosure Form is to be completed by each Investigator pursuant to the Wabash College Policy on Financial Conflicts of Interest in Public Health Service- or National Science Foundation-funded Research. Please refer to the specific Policy for detailed requirements and definitions. Complete this form and submit it to the Dean of the College's office with a copy to Deborah Woods, Grants Coordinator.

**I. Research Project Title and number:**

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**II. Project Director/Principal Investigator or Contact PD/PI if a multiple PD/PI model is used:**

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**III. Name of Investigator making this report about his/her financial interest(s):**

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**IV.**

- A.  I have read the Wabash College Policy on Financial Conflicts of Interest in Public Health Service and National Science Foundation-funded Research.
- B.  Attached/enclosed is my *Tutorial Certificate of Completion*.

**Check which of the following you are submitting:**

- A.  Initial Disclosure Form: Before the time of application for PHS- or NSF-funded Research
- B.  Update Disclosure Form: Within 30 days discovering or acquiring a new Significant Financial Interest during a PHS- or NSF-funded Research award
- C.  Update Disclosure Form: Required Annual Update during a PHS- or NSF-funded Research.

**V. Indicate whether you, the Investigator, have any Significant Financial Interests related to the work to be conducted under the PHS- or NSF-funded Research project(s):**

- A.  I have no Significant Financial Interest as that term is defined in the Policy (stop completing this Disclosure Form here and submit it).

B.  I do have Significant Financial Interest(s) to report (continue completing rest of this Disclosure Form)

**VI. For each Significant Financial Interest (Policy Section IV.E.1.) Use additional pages if necessary:**

A. Provide the name of each entity in which the Investigator or the Investigator's family member has a Significant Financial Interest related to this proposal:

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B. Provide the nature of the financial interest (for example, equity, consulting fee, travel reimbursement, or honorarium):

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C. Indicate the value (dollar amount) of the Significant Financial Interest:

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D. For Reimbursed or Sponsored Travel other than supported by this grant required to be reported by the Policy, indicate all of the following (PHS- or NSF-funded Research Policy Section IV.E.2):

1. The purpose of the trip:

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2. The identity of the sponsor/organizer:

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3. The destination:

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4. The duration:

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E. Describe how the Significant Financial Interest relates to the PHS- or NSF-funded Research:

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F. Do you believe that the Research project(s) could directly and significantly affect the Significant Financial Interest(s) you are reporting?

\_\_\_\_\_  
\_\_\_\_\_

VII. For further information about the Policy and how to complete this information, you may contact Deborah Woods, Grants Coordinator or the Dean of the College's office.



\*\*\* To be completed by Review Committee \*\*\*

Investigator \_\_\_\_\_ has completed the required FCOI tutorial for PHS- or NSF-funded Research and submitted the *Tutorial Certificate of Completion*.

This form has been reviewed by: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The following determination made:

\_\_\_\_\_ No significant financial conflict of interest found. No FCOI to be reported to PHS/NIH or NSF.

\_\_\_\_\_ It has been determined that a significant financial conflict of interest exists in relation to the PHS/NIH-funded research or NSF-funded grant.

\_\_\_\_\_ Action required: A FCOI report will be submitted to PHS/NIH or NSF together with a description of the key elements of Wabash College's management plan.

\_\_\_\_\_  
*Dean of the College or Dean's Official Designee*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Date*

# Preliminary Grant or Fellowship Proposal Information Form

Send as an e-mail attachment to Grants Coordinator Deborah Woods at [woodsde@wabash.edu](mailto:woodsde@wabash.edu)

Date \_\_\_\_\_

Name \_\_\_\_\_

Department \_\_\_\_\_

Phone Extension \_\_\_\_\_

Email \_\_\_\_\_

I'm working on a proposal for (brief content summary):

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I would appreciate assistance with who might fund such an idea.

I don't need any assistance.

I will be submitting it to \_\_\_\_\_  
 Deadline \_\_\_\_\_

My proposal requires:

support letter or signature from

	<u>Signature</u>	<u>Letter</u>
<input type="checkbox"/> Dean's Office		
<input type="checkbox"/> President's Office		
<input type="checkbox"/> Other		

matching funds from either the department or the institution

institutional information or data on \_\_\_\_\_

electronic submission to the funding source

Other ways you could assist me would include:

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\_\_\_\_\_ **Faculty Time Release** – Is release time requested as part of this application?  
This request needs to be discussed with the department chair and the Dean of the College before the proposal is submitted. A letter from the department/program chair in support of release time must accompany the request. If release time will be requested, please specify (e.g. leave, sabbatical, course release time, or other).

How much release time? \_\_\_\_\_ Which semester(s)? \_\_\_\_\_

\_\_\_\_\_ **New Personnel** – Will this application commit the College to new personnel or increased effort by existing staff? The grant budget must provide all salary and Benefits in accordance with personnel and benefit policies for comparable positions in the employee category.

If yes, please explain: \_\_\_\_\_

\_\_\_\_\_ **Equipment** – Will the grant or contract cover all expenses for purchase, installation and maintenance of the equipment? If not, please identify additional sources.

College cost share:

a) Equipment \_\_\_\_\_ amount \_\_\_\_\_

b) Installation \_\_\_\_\_ amount \_\_\_\_\_

c) Maintenance \_\_\_\_\_ amount \_\_\_\_\_

\_\_\_\_\_ **Space** – Will the project require alterations of existing space or new facilities?

Description of space \_\_\_\_\_

Cost estimate \_\_\_\_\_

Internal contact person \_\_\_\_\_

Projected space assignment of existing space \_\_\_\_\_

\_\_\_\_\_ **Information Technology Services** – Have hardware, software, and computing time been requested from the sponsor? Feasibility of technical support needs to be discussed with the Director of Information Technology Services before the proposal is submitted.

\_\_\_\_\_ **My Department Chair supports this proposal –**

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Department Chair Signature Date

\_\_\_\_\_  
Dean of the College Signature Date



## Information Form for Fellowship Application

(This form intended for individuals applying for fellowships such as Fulbright, ACLS, Guggenheim, etc.)

Please send this completed form and a copy of the proposal to the Dean of the College and the Grants Coordinator at the time of fellowship submission. Also use this form to discuss your application with your department chair so that he/she is aware that staffing arrangements will need to be made when you are successful.

Name of faculty member \_\_\_\_\_

Department \_\_\_\_\_

Date of submission \_\_\_\_\_

Name of agency/foundation to which proposal is being sent \_\_\_\_\_

\_\_\_\_\_

Name of fellowship program \_\_\_\_\_

Anticipated date of award notification \_\_\_\_\_

\_\_\_\_\_  
Department Chair Signature

\_\_\_\_\_  
Date

# VII. Additional Resources

## Web Sites for Fellowship and Grant Resources

The following are just a few examples of foundations and organizations who offer funding and other resources to individuals and institutions of higher education through grants and fellowships.

### **American Antiquarian Society** - <http://www.americanantiquarian.org/fellowships.htm>

“Founded in 1812 in Worcester, Massachusetts, the American Antiquarian Society (AAS) is a national research library on American history, literature, and culture through 1876. The AAS offers three broad categories of visiting research fellowships, with tenures ranging from one to twelve months. All of the fellowships are designed to enable scholars, advanced graduate students, and others to spend an uninterrupted block of time doing research in the AAS library on their projects and discussing their work with others.”

### **The Association of American Colleges and Universities (AAC&U)** – <http://www.aacu.org/>

“AAC&U is the leading national association concerned with the quality, vitality, and public standing of undergraduate liberal education. Its members are committed to extending the advantages of a liberal education to all students, regardless of academic specialization or intended career. Founded in 1915, AAC&U now comprises nearly 1,300 member institutions—including accredited public and private colleges, community colleges, research universities, and comprehensive universities of every type and size. AAC&U organizes its work around four broad goals: LEAP: Liberal Education as a Global Necessity; Quality: 21st Century Markers for the Value of US Degrees; Equity: Innovation, Inclusive Excellence, and Student Success; and Social Responsibility: Integrative Liberal Learning for the Global Commons.” Grants for programs addressing these goals are offered periodically.

### **American Chemical Society – Funding and Awards**

[http://portal.acs.org/portal/acs/corg/content?nfpb=true&pageLabel=PP\\_FUNDING&node\\_id=136&use\\_sec=false&uuid=103a0e04-7071-4755-b331-7b6142d22c7a](http://portal.acs.org/portal/acs/corg/content?nfpb=true&pageLabel=PP_FUNDING&node_id=136&use_sec=false&uuid=103a0e04-7071-4755-b331-7b6142d22c7a)

(All ACS grant, award, scholarship and internship opportunities are found in one location.)

### **American Council of Learned Societies (ACLS)** – [www.acls.org](http://www.acls.org)

“ACLS, a private, nonprofit federation of 71 national scholarly organizations, is the preeminent representative of American scholarship in the humanities and related social sciences. Advancing scholarship by awarding fellowships and strengthening relations among learned societies are central to (their) work.”

### **American Philosophical Association** – [www.amphilsoc.org/grants](http://www.amphilsoc.org/grants)

“The American Philosophical Society promotes useful knowledge in the sciences and humanities through excellence in scholarly research, professional meetings, publications, library resources, and community outreach.”

### **American Psychological Association** – [www.apa.org/about/awards/index.aspx](http://www.apa.org/about/awards/index.aspx)

“APA and its affiliate organizations provide a wide range of grants, scholarships, awards with the aim of advancing the science and practice of psychology as a means of understanding behavior and promoting health, education, and human welfare.”

**Arts Midwest** – <http://www.artsmidwest.org/about>

“Arts Midwest promotes creativity, nurtures cultural leadership, and engages people in meaningful arts experiences, bringing vitality to Midwest communities and enriching people’s lives.” It is a non-profit regional arts organization that serves audiences, arts organizations, and artists throughout the nine states of Illinois, Indiana, Iowa, Michigan, Minnesota, North Dakota, Ohio, South Dakota, Wisconsin, and beyond. Arts Midwest funding is available for: performances in the region through their Touring Fun; theater companies presenting through *Shakespeare in American Communities*; and scholarships to attend the Arts Midwest Conference.

**Association for Asian Studies** – <http://www.asian-studies.org/>

“The Association for Asian Studies (AAS) is a scholarly, non-political, non-profit professional association open to all persons interested in Asia and the study of Asia. With approximately 8,000 members worldwide, representing all the regions and countries of Asia and all academic disciplines, the AAS is the largest organization of its kind. Through its publications, online resources, regional conferences, and annual conference, the AAS provides its members with a unique and invaluable professional network.” AAS offers a several awards, prizes, and grant programs. Links to other available Asian Studies fellowships, grants, and prizes are included on their website.

**Burroughs Wellcome Fund** – <http://www.bwfund.org/grant-programs>

“The Burroughs Wellcome Fund is an independent private foundation dedicated to advancing the biomedical sciences by supporting research and other scientific and educational activities. Within this broad mission, BWF has two primary goals: 1) To help scientists early in their careers develop as independent investigators; and 2) To advance fields in the basic biomedical sciences that are undervalued or in need of particular encouragement. Within this overall strategy, BWF makes grants within several focus areas.”

**Catalog of Federal Domestic Assistance** – [www.cfda.gov](http://www.cfda.gov)

“The Catalog of Federal Domestic Assistance (CFDA) provides a full listing of all Federal programs available to State and local governments federally-recognized Indian tribal governments; Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.”

**The Chronicle of Philanthropy** – [www.philanthropy.com](http://www.philanthropy.com)

“*The Chronicle* provides news and information for executives of tax-exempt organizations in health, education, religion, the arts, social services, and other fields, as well as fund raisers, professional employees of foundations, institutional investors, corporate grant makers, and charity donors. Along with news, it offers such service features as lists of grants, fundraising ideas and techniques, statistics, reports on tax and court rulings, summaries of books, and a calendar of events.”

**Council for the International Exchange of Scholars (Fulbright Program)** – [www.cies.org](http://www.cies.org)

“A division of the Institute of International Education (IIE), the Council for International Exchange of Scholars (CIES) helps administer the Fulbright Scholar Program, the U.S.

government's flagship academic exchange effort, on behalf of the United States Department of State, Bureau of Educational and Cultural Affairs.”

**Council on Undergraduate Research (CUR)** – <http://www.cur.org/programs.html>

“The mission of the Council on Undergraduate Research is to support and promote high-quality undergraduate student-faculty collaborative research and scholarship.”

**Camille and Henry Dreyfus Foundation** – [www.dreyfus.org](http://www.dreyfus.org)

“The purpose of the Camille and Henry Dreyfus Foundation, Inc., is to advance the science of chemistry, chemical engineering and related sciences as a means of improving human relations and circumstances.”

**Foundation Center** – [www.foundationcenter.org](http://www.foundationcenter.org)

“The Foundation Center is the leading source of information about philanthropy worldwide. The Center maintains the most comprehensive database on U.S. and, increasingly, global grant makers and their grants. It also operates research, education, and training programs designed to advance knowledge of philanthropy at every level.”

**Fundsnet Services** – [www.fundsnet.com](http://www.fundsnet.com)

A fundraising and grants directory provided at no cost.

**The Getty Foundation** - <http://www.getty.edu/foundation/funding/>

“The Getty Foundation supports individuals and institutions committed to advancing the understanding and preservation of the visual arts locally and throughout the world. The majority of our funding is through initiatives that target a particular issue or region, and that are carried out in collaboration with the other Getty programs—the J. Paul Getty Museum, the Getty Research Institute, and the Getty Conservation Institute. We focus on the following four broad areas: Access to Museum and Archival Collections; Art History as a Global Discipline; Advancing Conservation Practice; and Leadership and Professional Development. The Getty also offers Residential Fellowships at the Getty Research Institute and the Getty Conservation Institute.”

**John Simon Guggenheim Memorial Foundation** – [www.gf.org](http://www.gf.org)

“Often characterized as "midcareer" awards, Guggenheim Fellowships are intended for men and women who have already demonstrated exceptional capacity for productive scholarship or exceptional creative ability in the arts.”

**Howard Hughes Medical Institute (HHMI)** – [www.hhmi.org/grants](http://www.hhmi.org/grants)

“Grants awarded by HHMI fit within two general categories: research grants for individuals and science education grants for institutions.”

**Indiana American Water** – <http://www.amwater.com/inaw/About-Us/>

Indiana American Water is our local water and wastewater company. “They treat water from diverse sources throughout Indiana with 37 water treatment plants across the state. They serve about 1.2 million people, in 126 communities, supplying high quality water and wastewater service. They abide by regulations, invest in their vast infrastructure, develop industry

innovations, educate customers on wise water use, and help out where they can in the cities and towns they serve.” They offer small grants for educational programs and have an extensive speakers bureau available for presentations.

**International Research and Exchanges (IREX) – [www.irex.org/apply/](http://www.irex.org/apply/)**

“IREX funding enables local individuals and institutions to build key elements of a vibrant society: quality education, independent media, and strong communities.”

**W.K. Kellogg Foundation – [www.wkkf.org](http://www.wkkf.org)**

“Our website provides information regarding our programming framework for educated kids, healthy kids, secure families, racial equity, and civic engagement.”

**Henry Luce Foundation – [www.hluce.org](http://www.hluce.org)**

“The Henry Luce Foundation seeks to bring important ideas to the center of American life, strengthen international understanding, and foster innovation and leadership in academic, policy, religious and art communities. The pursue this mission through the following grant-making programs: American Art; East Asia; Luce Scholars; Theology; Higher Education and the Henry R. Luce Professorships; the Henry R. Luce Initiative on Religion and International Affairs; Public Policy and the Environment; and the Clare Boothe Luce Program for women in science, mathematics and engineering.”

**National Research Council – [www.nationalacademies.org/grantprograms.html](http://www.nationalacademies.org/grantprograms.html)**

“The National Academy of Sciences, National Academy of Engineering, Institute of Medicine, and National Research Council offer several fellowships in science, engineering, and medicine. Information on eligibility guidelines and application deadlines is available on specific programs' Web sites.”

**Pew Charitable Trusts – [www.pewtrusts.org/program\\_investments.aspx](http://www.pewtrusts.org/program_investments.aspx)**

“Pew invests in programmatic work to solve today’s most challenging problems. Whether protecting ocean life, fixing the foster care system or promoting access to preschool, we partner with a diverse range of public and private organizations who share our commitment to new ways of thinking and new forms of action for improving society. We perform our work through three methods—operating projects, which are managed by Pew staff; donor partnerships, which allow us to work closely with individuals or foundations and achieve shared purposes; and targeted grantmaking.”

**Research Corporation for Science Advancement – [www.rescorp.org](http://www.rescorp.org)**

“RCSA is a private operating foundation that aids basic research in the physical sciences (astronomy, chemistry, physics, and related fields) at U.S. colleges and universities.”

**Alfred P. Sloan Foundation – [www.sloan.org](http://www.sloan.org)**

“Established in 1934 by Alfred Pritchard Sloan Jr., then-President and Chief Executive Officer of the General Motors Corporation, the Foundation makes grants in support of original research and education in science, technology, engineering, mathematics and economic performance.”

**Social Science Research Council – <http://www.ssrc.org/>**

“The Social Science Research Council is an independent, nonprofit international organization that nurtures new generations of social scientists, fosters innovative research, and mobilizes necessary knowledge on important public issues. SSRC fellowships and grants fund projects that advance necessary knowledge. They are targeted to a problem, promote individual and institutional change, generate new knowledge and build networks.”

**Carter G. Woodson Institute for African-American and African Studies - <http://artsandsciences.virginia.edu/woodson/>**

“Since its inception in 1981, the Woodson Institute’s Residential Fellowship Program has attracted outstanding scholars in the humanities and social sciences who work on a wide array of topics in African-American and African Studies, as well as related fields. These two-year fellowships—offered at the pre-doctoral and post-doctoral levels—are designed to facilitate the writing of dissertations or manuscripts and provide successful applicants the opportunity to discuss and exchange works-in-progress both with each other and the larger intellectual community of the University. Preference is given to applicants whose research is substantially completed, thus providing them the maximum amount of time to complete their manuscripts within the fellowship term.”

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***U.S. Military Research Offices***

**Army Research Office – [www.arl.army.mil/](http://www.arl.army.mil/)**

“The U.S. Army Research Laboratory's Army Research Office (ARO) mission is to serve as the Army's premier extramural basic research agency in the engineering, physical, information and life sciences; developing and exploiting innovative advances to insure the Nation's technological superiority. Basic research proposals from educational institutions, nonprofit organizations, and private industry are competitively selected and funded.”

**Office of Naval Research - [www.onr.navy.mil/Contracts-Grants.aspx](http://www.onr.navy.mil/Contracts-Grants.aspx)**

“ONR is constantly looking for innovative scientific and technological solutions to address current and future Navy and Marine Corps requirements. We want to do business with educational institutions, nonprofit and for-profit organizations with ground-breaking ideas, pioneering scientific research and novel technology developments. In addition, ONR participates and sponsors science fairs, college internships, graduate fellowships and curricular enrichment programs. Outreach initiatives encourage, promote and coordinate naval science and technology both domestically and abroad.”

**Air Force Office of Scientific Research -**

**[www.wpafb.af.mil/library/factsheets/factsheet.asp?id=8981](http://www.wpafb.af.mil/library/factsheets/factsheet.asp?id=8981)**

“The Air Force sponsors research assistantship programs, faculty programs, and graduate school programs. These programs are intended to support graduate education, to encourage development of research excellence in critical technological areas where research facilities and qualified researchers are lacking, to train personnel to conduct high-quality research, and to stimulate mutual research interests between the Air Force and institutions of higher education.”

**Defense Advanced Research Projects Agency (DARPA) -**

[www.darpa.mil/Opportunities/Universities/](http://www.darpa.mil/Opportunities/Universities/)

“DARPA’s mission is to maintain the technological superiority of the U.S. military and prevent technological surprise from harming our national security by sponsoring revolutionary, high-payoff research bridging the gap between fundamental discoveries and their military use.”

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***Government and Quasi-Governmental Agencies***

**Department of Commerce –**

<http://www.commerce.gov/about-commerce/grants-contracting-trade-opportunities#grants>

“The U.S. Department of Commerce promotes job creation, economic growth, sustainable development and improved standards of living for all Americans by working in partnership with businesses, universities, communities and our nation’s workers. The department touches the daily lives of the American people in many ways, with a wide range of responsibilities in the areas of trade, economic development, technology, entrepreneurship and business development, environmental stewardship, and statistical research and analysis.”

**Department of Health and Human Services – [www.hhs.gov/grants/](http://www.hhs.gov/grants/)**

“The Department of Health and Human Services (HHS) is the United States government’s principal agency for protecting the health of all Americans and providing essential human services, especially for those who are least able to help themselves.”

**Indiana Academy of Science – <http://www.indianaacademyofscience.org/>**

“The Indiana Academy of Science (founded in 1885) is a non-profit organization dedicated to promoting scientific research and the diffusing scientific information; to encouraging communication and cooperation among scientists and to improving education in the sciences.”

**Indiana Arts Commission – <http://www.in.gov/arts/index.htm>**

“The Indiana Arts Commission is an agency of State Government funded by the Indiana General Assembly and the National Endowment for the Arts. The Arts Commission advocates arts development opportunities across the state, and stewards effective use of public and private resources for the arts. It stimulates public interest in, and participation with, Indiana's diverse arts resources and cultural heritage. The Arts Commission works to enhance public awareness of the arts, life-long learning opportunities, and arts education programs. Governed by a 15-member board of gubernatorial appointees, the IAC serves all citizens and regions of the state.”

**All grant proposals for organizations located in Montgomery County must go through our *Regional Arts Partner, the Tippecanoe Arts Federation.***

**Tippecanoe Arts Federation – <http://www.tippecanoearts.org/>**

“Located in Lafayette, Indiana, the Tippecanoe Arts Federation serves as the Region 4 Arts Partner of the Indiana Arts Commission. (Montgomery County is one of 14 counties in Region 4.) Through this partnership, TAF provides grants, information and referral services, and technical assistance to individuals and organizations.”



**Indiana Humanities Council** – <http://www.indianahumanities.org/res.aspx>

“In partnership with the National Endowment for the Humanities, Indiana Humanities offers a competitive grants program which awards funding to Indiana not-for-profit organizations, schools, and other institutions. We divide grants into two broad categories: Humanities Initiative Grants and Historic Preservation Education Grants.”

**National Endowment for the Arts** – [www.nea.gov](http://www.nea.gov)

“The National Endowment for the Arts was established by Congress in 1965 as an independent agency of the federal government. To date, the NEA has awarded more than \$4 billion to support artistic excellence, creativity, and innovation for the benefit of individuals and communities. The NEA extends its work through partnerships with state arts agencies, local leaders, other federal agencies, and the philanthropic sector.”

**National Endowment for the Humanities** – <http://www.neh.gov/grants>

“The National Endowment for the Humanities (NEH) is an independent federal agency created in 1965. It is one of the largest funders of humanities programs in the United States. Because democracy demands wisdom, NEH serves and strengthens our republic by promoting excellence in the humanities and conveying the lessons of history to all Americans. The Endowment accomplishes this mission by awarding grants for top-rated proposals examined by panels of independent, external reviewers.”

**National Institutes of Health** – [www.nih.gov](http://www.nih.gov)

“The National Institutes of Health (NIH), a part of the U.S. Department of Health and Human Services, is the nation’s medical research agency—making important discoveries that improve health and save lives. NIH encourages and depends on public involvement in federally supported research and activities. NIH’s wide-ranging public efforts include outreach and education, nationwide events, requests for public input on NIH projects, and special programs designed specifically to involve public representatives in clinical research.”

**National Science Foundation** – [www.nsf.gov](http://www.nsf.gov)

“The National Science Foundation (NSF) is an independent federal agency created by Congress in 1950 "to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense..." With an annual budget of about \$6.9 billion (FY 2010), we are the funding source for approximately 20 percent of all federally supported basic research conducted by America's colleges and universities. In many fields such as mathematics, computer science and the social sciences, NSF is the major source of federal backing.”

**Smithsonian Institution – Office of Fellowships and Internships** – <http://si.edu/ofg/>

“The Office of Fellowships and Internships (OFI) has the central management and administrative responsibility for the Institution's programs of research, fellowships, and other scholarly appointments. One of its primary objectives is the facilitation of the Smithsonian's scholarly interactions with students and scholars at universities, museums, and other research institutions around the world. The Office administers Institution-wide research support programs, and encourages and assists other Smithsonian museums, research institutes and research offices in the development of additional fellowships and visiting appointments.”

**U. S. Department of Education** – [www2.ed.gov/fund/landing.jhtml](http://www2.ed.gov/fund/landing.jhtml)

“The U.S. Department of Education administers about 200 grant programs. Descriptions of those programs, as well as applications and guidelines, can be found at this site.”

**U.S. Government Printing Office** – [www.gpo.gov/fdsys/](http://www.gpo.gov/fdsys/)

“GPO’s Federal Digital System (FDsys) provides free online access to official publications from all three branches of the Federal Government.”

## **Wabash Faculty Who Have Received Grants, Fellowships, or Other External Awards From Major Funding Sources**

(This is not a complete list; we would appreciate knowing about additional recipients)

### **American Council of Learned Societies (ACLS)**

James Barnes (History – Emeritus)  
Joe Day (Classics – Emeritus)  
Leslie Day (Classics – Emeritus)

### **American Chemical Society/Petroleum Research Fund**

Richard Dallinger (Chemistry)  
Robert Olsen (Chemistry - Emeritus)  
Lon Porter (Chemistry)

### **American Philosophical Society**

Joyce Burnette (Economics)  
Joe Day (Classics – Emeritus)

### **Carnegie Academy for the Scholarship of Teaching and Learning (CASTL) Scholar**

David Blix (Religion)

### **The Camille and Henry Dreyfus Foundation**

Scott Feller (Chemistry)  
Lon Porter (Chemistry)  
Ann Taylor (Chemistry)

### **Fulbright Scholarship (through Council for International Exchange of Scholars – CIES)**

James Barnes (History – Emeritus)  
Stephen Morillo (History)  
Warren Rosenberg (English)

### **Great Lakes Colleges Association (GLCA) New Directions Initiative**

Jennifer Abbott (Rhetoric)  
Jon Baer (Religion)  
Preston Bost (Psychology)  
Doug Calisch (Art)  
Gilberto Gomez (Modern Languages)  
Karen Gunther (Psychology)  
Jeremy Hartnett (Classics)  
Robert Horton (Psychology)  
Peter Hulen (Music)  
Amanda Ingram (Biology)  
Martin Madsen (Physics)  
James Makubuya (Music)  
Todd McDorman (Rhetoric)  
Michele Pittard (Teacher Education)  
Dan Rogers (Modern Languages & Literatures)  
Warren Rosenberg (English)  
Robert Royalty (Religion)

Agata Szczeszak-Brewer (English)  
Ann Taylor (Chemistry)  
Brian Tucker (Modern Languages)  
Rick Warner (History)  
Chad Westphal (Mathematics and Computer Science)  
Eric Wetzel (Biology)  
Kealoha Widdows (Economics)

**Indiana Arts Commission**

Douglas Calisch (Art)  
Dwight Watson (Theater)

**Institute for Aegean Prehistory**

Leslie Day (Classics – Emeritus)

**Lilly Endowment**

Charles Blaich (Center of Inquiry in the Liberal Arts)  
Deborah Butler (Teacher Education – Emeritus)  
Douglas Calisch (Art)  
Thomas Campbell (English – Emeritus)  
P. Donald Herring (Rhetoric; English – Emeritus)  
Jon Jump, (Professor of Biochemistry)  
Nadine Pence (Wabash Center for Teaching and Learning in Theology)  
Warren Rosenberg (English)

**National Geographic Society**

Leslie Day (Classics – Emeritus)

**National Endowment for the Arts (NEA)**

*Fellowship* – Marc Hudson (English)

**National Endowment for the Humanities (NEH)**

*Fellowship* – Joseph Day (Classics – Emeritus)  
*Research* – Robert Royalty (Religion)  
*Research* – Jeremy Hartnett (Classics)  
*Summer Institute* – Gilberto Gomez (Modern Languages)  
*Summer Seminar* – Agata Szczeszak-Brewer (English)  
*Summer Seminar* – Joe Day (Classes – Emeritus)  
*Summer Seminar* – David Kubiak (Classics)  
*Summer Seminar* – Tom Stokes (Modern Languages)  
*Summer Seminar* – Brian Tucker (German)  
*Summer Study* – Stephen Morillo (History)  
*Visiting Scholar* – Stephen Morillo (History)

**National Institutes of Health (NIH)**

Neil Schmitzer-Torbert (Psychology)

**National Science Foundation (NSF)**

Charles Blaich (Center of Inquiry in the Liberal Arts, Psychology)  
James Brown (Physics)  
Joyce Burnette (Economics)

Richard Dallinger (Chemistry)  
Scott Feller (Chemistry)  
Amanda Ingram (Biology)  
David Maharry (Mathematics and Computer Science – Emeritus)  
Wally Novak (Chemistry)  
Ann Taylor (Chemistry)  
Chad Westphal (Mathematics and Computer Science)

**Newberry Library**

Gilberto Gomez (Modern Languages)  
Warren Rosenberg (English)

**Princeton University Center for the Study of Religion**

*Fellowship* – Jonathan Baer

**Research Corporation**

Jon Jump (Chemistry)  
Robert Olsen (Chemistry – Emeritus)  
L. David Polley (Biology)

**School of Classical Studies at Athens, Greece**

*Visiting Whitehead Professorship* – Leslie Day (Classics – Emeritus)

**Stanford Humanities Center**

Robert Royalty (Religion)

**U.S. Department of Agriculture**

Ann Taylor (Chemistry)

**Wabash Center for Teaching and Learning in Theology and Religion**

Robert Royalty (Religion)

## **McLain-McTurnan-Arnold Research Scholars**

Eric Olosfon (Psychology) – 2014  
James Brown (Physics) – 2013  
Martin Madsen (Physics) – 2012  
Jeremy Hartnett (Classics) – 2011  
Peter Hulen (Music) – 2010  
Joyce Burnette (Economics) – 2009  
John Munford (Biology) - 2008  
Ann Taylor (Chemistry) – 2007  
Todd McDorman (Rhetoric) – 2006  
Stephen Morillo (History) – 2005  
Dennis Kraus (Physics) – 2004  
Joy Castro (English) – 2003  
Eric Wetzel (Biology) – 2002  
Gilberto Gomez (Modern Languages) – 2001  
L. David Polley (Biology) – 2000  
James Fisher (Theater) – 1999  
David Krohne (Biology) – 1998  
Richard Dallinger (Chemistry) – 1997  
Thomas Stokes (Modern Languages) – 1996  
Warren Rosenberg (English) – 1995  
Stephen Webb (Religion) – 1994  
Leslie and Joe Day (Classics) – 1993  
Melissa Butler (Political Science) - 1992