

Non-Senate Faculty Professional Development Fund

UCSC Guidelines

Updated January 2017

Each year UCSC offers Non-Senate Faculty (NSF) grants from a professional development fund (PDF) for the purpose of advancing the pedagogy of NSF at the campus. The grant program is overseen and managed by a PDF Council consisting of five members and a chairperson, all of whom are UCSC NSF. The PDF Council reviews and makes recommendations on the grant awards; final approval and disbursement is managed by the university administration.*

We offer two grant opportunities: **small grants** (requests for less than \$750.00) and **large grants** (requests for \$750.00 or more). Small grants are approved throughout the academic year; large grant applications are approved on an annual funding cycle that is announced yearly.

Small grants (applications for less than \$750.00):

Our small grant program usually funds small projects, training, and special equipment purchases, but can include requests for a variety of curriculum or teaching-related professional development activities. Small grant requests can be made at any time within the academic year.

Large grants: (applications for \$750.00 or more):

Large grants fund projects similar to small grants, but in addition they typically fund conference attendance, training, curriculum development and initiatives, and other projects. Large grant applications must be submitted by a deadline(s) announced in the annual call(s) for proposals each year.

Although many of our grants are for summer activities and initiatives, **there is no separate summer grant program**. NSF seeking grants for summer projects and activities must submit their applications for a small or large grant programs during the regular academic year.

*Please note the PDF consists entirely of university funds, and therefore these funds must be used in accordance with university policies involving travel, purchasing, expenditures, etc. Typically, these awards are made in the form of a reimbursement, which means that the funds are provided to the NSF *subsequent* to participation in the award activity. Therefore, adherence to university policy requirements, including timely submission of required documentation and receipts, is essential to actually receiving these awards funds. These reimbursement procedures are the same for all university employees, and are not meant to discourage any eligible NSF for applying for these funds; **the PDF chair and divisional business offices are available to help grantees make this process work efficiently for everyone involved.**

Please note that the PDF has limited funds; the PDF Council may recommend partial funding for some proposals (this is usually an attempt to distribute our limited funds equitably).

All grant requests need to adhere to the guidelines below pertaining to application, qualifications and restrictions. If applicants have any questions about the application process or grant policies, please contact the PDF Council chair Tony Hoffman at thoffma@ucsc.edu or (831) 247-5558.

Rules and Guidelines for NSF Professional Development Grant Applicants

Applicants should read all the following qualifications, eligibility and restrictions. Applications which do not meet the requirements will be returned to the applicant without being considered.

Qualifications, Eligibility, and Restrictions:

- Applications must be fully completed to be considered for recommendation.
- Applications can be retroactive or for future activities as follows:
 - Grant applications can be submitted for **retroactive funding** for expenses incurred from July 1 of the current academic year (e.g., an application submitted during the 2016-2017 academic year may include expenses incurred after July 1 2017) (be sure all required University documentation is available! - see below).
 - Grant applications can be submitted for **future funding** in the current and subsequent academic year of the application, but expenses must be incurred within 12 months from the date on which the grant is awarded.
- Again, applications for summer projects/activities are only reviewed during the regular academic year through the small and large grant programs.
- *Eligibility:* Because the PDF is intended to support the professional development of UCSC NSF, applications from pre-six NSF must include written confirmation from the dean of a future NSF appointment/reappointment if the funding is to be used in a quarter subsequent to the end date of the NSF's current appointment. There is no requirement of an annual appointment/reappointment but only that there is an NSF appointment that will follow the quarter or summer in which the award was used. Ideally, the dean's letter would accompany the grant application. However, in the event that the appointment/reappointment letter is not available at the time the application is submitted, the administration's approval of the grant award will be deferred until the confirmation of the future appointment/reappointment letter is received. [Due to the nature of their appointment, NSF with continuing post-six status are not required to submit any appointment confirmation.]
- This program's funds are not available for "course support" because regular course-related funding should be covered by colleges and departments.

- Any proposal for the purchase of equipment must be supported by a statement from the NSF's department chair or college provost, stating that the item is not available from the department or college. Equipment remains the property of the university and will be added to departmental inventory.
- The PDF will not fund any book project or aspect thereof.
- All purchases must comply with university's conflict of interest policy (see <http://finaff.ucsc.edu/cc/ARH/HScoi.htm>)
- Professional Development Funding in any amount is awarded for specific, approved purposes. If an applicant wishes to use the money awarded for a different purpose, re-application is required. In this situation the applicant must notify the PDF Council Chair and the divisional business office that the original grant monies will not be spent, so that the money can revert to the PDF.
- Grant recipients wishing to make budgetary adjustments within an approved grant should seek authorization from their divisional business office.
- In the event that grant-related costs have increased over original estimates, the grant recipient should send a request for such an adjustment, with documentation, to the PDF Council chair, who will recommend a funding adjustment. This recommendation needs approval from the university administration before additional funds can be spent or reimbursed.
- As noted above, the PDF Council may recommend partial funding for proposals.
- The PDF Council reserves the right to seek clarification of any issue arising from an applicant's proposal. Additional information about reimbursement may also be requested from university administration.

Applications

Prospective applicants for large or small grants can access the PDF grant application online at ww.ucsc.ucaft.org. Applications and supporting materials are to be submitted online to thoffma@ucsc.edu. Please submit application files with names using the following formats: *FirstinitialLastnamePDFgrantApp*, *FirstinitialLastnameSupplies*, etc. (e.g. *MJonesPDFgrantApp.docx*, *MJonesBudget.pdf*, *MJonesReceipts*, etc.). Again, applications must be fully completed to be considered for approval.

Please note that grant requests must be signed by both the applicant and his/her college or department chair. Electronic signatures are acceptable as follows: 1) a jpg or jpeg signature; 2) an ink signature on a document that is submitted as a pdf via email or in hardcopy; or 3) a one-line email from the department chair that contains the applicant's name and confirms that the NSF is in good standing and that the NSF's Statement of Pedagogical relevance is supported. Signatures may be submitted as an insert or scan with the application files, or submitted in hardcopy to the NSF PDF chair (Tony Hoffman) in Psychology Faculty Services.

Budget and budget tabulation guidelines:

All applications must be accompanied by a budget that clearly states expenses. Budgets must be detailed and include evidence of fees and specific rate quotes for airfare, lodging, registration fees, etc. Calculate driving mileage reimbursements from the mileage reimbursement rates for the time of travel (which can be found at https://financial.ucsc.edu/pages/travel_main.aspx). Please note that airfare and travel are to be budgeted for the time of the activities; if an NSF chooses to spend additional time for personal reasons before or after a funded activity, extra travel costs cannot be reimbursed (travel quotes should be obtained just for travel pertaining to the activities, even if a different travel schedule is actually purchased). As per UC travel guidelines, we do not reimburse meals. We do not reimburse with per diems except in special cases in which travel costs can not be accounted for.

Here is a sample budget:

<u>Attendance at the Modern Language Association Meeting, Chicago Illinois,</u>		
<u>December 26-29, 2011.</u>		
Round trip auto to San Jose Airport: 60 miles @ \$0.56		\$33.60
Parking at San Jose Airport	4 days @ \$8.00	\$32.00
Hotel Northwestern, Chicago.....	4 nights@ \$75.....	\$300.00
Air travel roundtrip to Chicago		\$325.00
Attendance fee for MLA		<u>\$100.00</u>
	Total	\$790.60

Required budget details:

Airline Travel: Indicate the estimated price for the ticket as well as the date of the estimate. If you plan to do any personal travel before or after the dates of the grant activities involving airline flight, please indicate any differences in the estimated airline ticket price of the travel. The university will not pay any travel costs that exceed those needed for the grant period.

Other Travel: This includes bikes, rental cars, ferries, etc. required for your grant activities. Personal auto mileage is to be calculated at the university's approved per mile reimbursement rate for that time period (can be found at <https://financial.ucsc.edu/pages/travel>). Indicate the destinations and the date in all estimates.

Attendance/Entrance Fees: Indicate costs and fees charged by conferences, workshops, etc. Specifically name the event, location, and dates.

Professional Supplies: Indicate the costs associated with the purchase of items for this project such as software, tools, instruments, supplies, materials, equipment, books, scores, CDs. Attach cost confirmations wherever possible.

Accommodations: Indicate the costs associated with stays in hotels, hostels, dorm facilities, etc.

Miscellaneous: Indicate any other expenses associated with your project that are not covered by the above categories (payment for food is not allowed).

Retroactive funding requests must attach copies of all appropriate receipts (retain your originals for the time being). Reimbursement for travel must be accompanied by receipts and a post-travel form.

Award and Award Notification

After reviewing applications, The PDF Council and the PDF Chair recommend grants for approval by the university. The university administration makes the final decisions, and provides notifications of awards to applicants.

- Small grant applications are reviewed by the PDF Council Chair and recommended to the university administration for approval. After the chair's recommendation has been received by the administration, the university typically notifies the applicant of the final decision within two to three weeks.
- Large grant applications are reviewed and recommended by the PDF Council usually within two weeks after deadline(s) announced in the annual call(s). Recommendations are forwarded to the university administration for review and approval; the university typically notifies the applicant of the final decision within two to three weeks after receiving the recommendations from the PDF Council.

Award letters are sent directly to the applicant by email; however, the funding is not released to the appropriate divisional business office until the recipient signs and returns the Statement of Understanding that is sent along with the award letter.

Please note that recommendation for approval of a grant request by the PDF Chair and the PDF Council is not a guarantee of funding unless funds are:

- approved by the university administration;
- spent according to the applicant's approved budget;
- spent according to university guidelines; and
- requested using the university's procedures for purchasing, expenditures and reimbursements.

Reimbursement and Purchases with Approved PDF funds

Once award notification is received, divisional business offices oversee funding and reimbursements. As soon as a grantee receives her/his award letter, it is strongly advised that the divisional business office be contacted about the award to review the anticipated expenses, forms to be completed, policies to be followed, etc.

Grantees must keep original receipts. These receipts will be used for reimbursement from the business offices (it is strongly advised that copies of all receipts be kept in case of the rare situation in which reimbursement requests need resubmission).

As with many small grant programs from public institutions, funds for this program are almost all paid out as reimbursements (in rare cases, purchases can be invoiced). Reimbursement requests must be reviewed and approved by university financial personnel (again originating first in a divisional business office). Although every effort is made to process reimbursement requests as quickly as possible, this process necessarily results in NSF paying granted expenses out-of-pocket and then waiting for reimbursement for some time, which is usually (but not always) two to six weeks after reimbursement requests are submitted.

Expenses and reimbursements are subject to university policy. The university's purchasing, reimbursement and travel policies are numerous, complex, and they change from time to time. Although the PDF policies above must be adhered to, these are not the entirety of university policies. Some of these policies can be found at the following links:

https://financial.ucsc.edu/Pages/Payments_Contacts.aspx

<https://financial.ucsc.edu/Pages/TrainingEntertainment.aspx>

Travel process and reimbursement link:

https://financial.ucsc.edu/Pages/Travel_Process.aspx

All expense and reimbursement requests require that forms be completed; these forms vary depending on the nature of an expense. Travel expenses in particular require completion of a number of forms, almost always including a **post-travel form** (available at https://financial.ucsc.edu/Financial_Affairs_Forms/Post_Travel_Expense.pdf). If in doubt about which forms to complete, ask your divisional business office or staff in the FAST office.

As of 2015, university policy requires that request for travel reimbursement occur within 45 days of that travel or within 45 days of receiving grant approval for such travel. **Thus all employees must be careful to keep travel receipts and records and submit reimbursement requests QUICKLY within this time period to get reimbursed.**

NSF whose grants involve travel are strongly encouraged to contact their divisional business office prior to booking their travel, and/or with travel personnel in the FAST office, to make sure they are in compliance with travel guidelines and policy.

Strongly Encouraged Follow-ups

After the award and project completion, The PDF Council strongly encourages all grant recipients to write a short report of how they spent their funding for the enlightenment of first-time applicants. The Council also hopes that PDF grant recipients will consider representing their division on the Council in the future.

Further Information

This year's Professional Development Fund (PDF) Council Chair is Tony Hoffman. Contact Tony with any questions or needs you may have regarding this grant program at thoffma@ucsc.edu or (831) 247-5558.