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About the Institute

The Hunt Institute for Botanical Documentation, a research division of Carnegie Mellon University, specializes in the history of botany and all aspects of plant science and serves the international scientific community through research and documentation. To this end, the Institute acquires and maintains authoritative collections of books, plant images, manuscripts, portraits and data files, and provides publications and other modes of information service. The Institute meets the reference needs of botanists, biologists, historians, conservationists, librarians, bibliographers and the public at large, especially those concerned with any aspect of the North American flora.

Hunt Institute was dedicated in 1961 as the Rachel McMasters Miller Hunt Botanical Library, an international center for bibliographical research and service in the interests of botany and horticulture, as well as a center for the study of all aspects of the history of the plant sciences. By 1971 the Library's activities had so diversified that the name was changed to Hunt Institute for Botanical Documentation. Growth in collections and research projects led to the establishment of four programmatic departments: Archives, Art, Bibliography and the Library.

UNIVERSITY OF COLORADO
BOULDER, COLORADO 80302

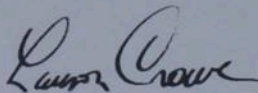
GRADUATE SCHOOL
OFFICE OF THE DEAN

TO: All Faculty Members of the University of Colorado
FROM: Dean Lawson Crowe
SUBJECT: Revision of the Policies and Procedures of the Council on
Research and Creative Work
DATE: September 1, 1969

The Council on Research and Creative Work has extensively revised the guidelines used in making decisions about applications from the faculty for grants-in-aid, faculty fellowships, and summer research initiation faculty fellowships. Please note the important change in the deadlines for receipt of faculty fellowship and summer research initiation faculty fellowship applications. Faculty fellowship applications must now be in by October 15 and summer research initiation faculty fellowships by October 31.

The attached guidelines are to be used in preparing proposals to the Council. The revision dated September 9, 1968 is now obsolete and should be discarded. Since the Council has made substantial revisions in the forms on which proposals are to be submitted, you should use only those forms that show a revision date of 9/69. If you need an application for grant-in-aid, faculty fellowship, or summer research initiation faculty fellowship, please call the Council Secretary, extension 7408.

LC: gp



UNIVERSITY OF COLORADO
POLICIES AND PROCEDURES OF THE
COUNCIL ON RESEARCH AND CREATIVE WORK

Revised
September 1, 1969

I. Objectives

The primary function of the Council on Research and Creative Work, by providing financial assistance to faculty members and time free from teaching and administrative responsibilities, is to promote research and creative work in the University. Council awards include: grants-in-aid of research and creative work, faculty fellowships, and summer research initiation faculty fellowships. The Council takes final action on grants-in-aid. The Dean of the Graduate School, on recommendation of the Council, awards faculty fellowships and summer research initiation faculty fellowships.

II. Applications to the Council

Applications should contain sufficient information to permit the Council readily to determine the following:

- A. The work the applicant hopes to accomplish;
- B. The method he proposes to employ in accomplishing it;
- C. The extent to which the work represents a new contribution to knowledge or creative effort. (To provide this information, give a brief description of the current state of the art and refer to similar work in progress elsewhere.)

III. Grants-in-Aid

A. Purpose

Grants-in-aid are intended to promote and support the research and creative efforts of the grantee faculty members. They may not, however, be used to support graduate study of the faculty member. It is not the policy of the Council to aid projects that should be supported by departmental budgets, to make loans, or to provide support for projects whose purpose is the improvement of teaching or the preparation of classroom materials or manuscripts for textbooks, or equipment required for general departmental use or for outfitting a laboratory for multipurpose use.

B. Eligibility

Any full-time member of the faculty who requires financial assistance for his research or creative work is eligible to submit an application

for a grant-in-aid. Visiting faculty members are eligible for grants-in-aid to support work during the period of their tenure.

C. Application Procedure

Applications for grants, which may be submitted at any time, should be made on forms available at the office of the Secretary of the Council, Regent Hall 201. The research or creative work to be undertaken, the plan of procedure, and the significance of the proposed work should be stated briefly in language intelligible to educated laymen. Applicants should allow six weeks from the date of submission for the Council to complete action; a longer time should be allowed in the summer since the Council does not normally meet then. Applications must be reviewed and signed by the applicant's department chairman before submission to the Council.

D. Budget

Grants-in-aid provide financial support for any or all of the following items:

1. Research assistant(s);
2. Part-time clerical and technical or shop assistance;
3. Materials and supplies;
4. Equipment items, the total cost of which is less than \$5,000, may be requested, provided that the need can be justified in terms of the requirements of the specific research or creative work described in the application;
5. Travel necessary to the research. (The Council may provide travel expenses for investigator only; members of the investigator's family are not eligible. Automobile travel cost is based on mileage at the standard University rate, currently 8¢ per mile.)

E. Time Limit

Grants-in-aid are awarded with a one-year time limit, after which, unless an extension is granted, unspent balances revert to the Council. Requests for extension should be submitted to the Secretary one month before expiration of the grant. Such requests should indicate why the extension is necessary and should provide a budget covering expenditure of the remaining funds. The Council will allow only one extension of six months unless unusual circumstances prevail.

F. Outside Funding

The Council expects all applicants to seek outside funds for their projects whenever possible. For assistance in locating sources of funding, call the Assistant in charge of Research, Graduate School, Ext. 7408.

G. Report of Publication and Creative Effort

One reprint or copy of the material published should be submitted to the Secretary.

IV. Faculty Fellowships

A. Purpose

Faculty fellowships provide leave from normal University responsibilities for full-time research and creative work. It is not the policy of the Council to aid projects that should be supported by departmental budgets, to make loans, or to provide support for projects whose purpose is the improvement of teaching or the preparation of classroom materials or manuscripts for textbooks, or equipment required for general departmental use or for outfitting a laboratory for multipurpose use.

B. Term and Stipend

Faculty fellowships may be awarded for one semester, for the full academic year or in exceptional cases they may be awarded for the summer session or for the summer and one adjacent semester. Faculty members receive full salary during the terms of their fellowships. No advances will be made on salaries or associated grant-in-aid funds.

C. Eligibility

Faculty fellowships may be requested by persons who:

1. Are full-time members of the faculty with the rank of assistant professor or above;
2. Have been members of the faculty, at the rank of assistant professor or above, for at least 36 months at the time the fellowship takes effect;
3. Have spent at least three academic years on the campus since the last faculty fellowship, at the time the fellowship takes effect;
4. Have demonstrated, by published or recognized work, substantial ability in scholarship, research, or creative work.

D. Applications

All requests for faculty fellowships should be submitted to the Council by October 15 of the year preceding the academic year or summer for which the fellowship is requested. Applications must be prepared on forms supplied by the Secretary of the Council and must be submitted to the department chairman who evaluates the application and certifies that the academic programs of the department, both graduate and undergraduate, will not be impaired by award of the fellowship(s). The chairman then forwards the application to the Dean of his school or college who endorses the application and forwards it to the Secretary of the Council, Regent Hall 201.

E. Associated Grants-in-Aid

An applicant for a faculty fellowship may request a grant-in-aid in connection with his faculty fellowship. The budget page of the application form provides space for such a request, which may include travel funds.

F. Outside Funding

Persons applying for faculty fellowships are expected to submit parallel applications to outside sponsors. For information about availability of support from outside sources, faculty members are encouraged to call the Assistant in charge of Research in the Graduate School, Ext. 7408.

G. Faculty Fellowships Concurrent with Other Awards and Fellowships

If a faculty fellow receives an outside award (such as a Guggenheim or Fulbright) that runs concurrently with his fellowship, he may use the fellowship to supplement the stipend accompanying the outside award during the period the two overlap. Faculty members are expected to seek such outside awards (see Section F above). When an award is made, the faculty member's salary payment under the faculty fellowship is reduced by an amount equivalent to the stipend he receives under the outside award, so that his total income for the term of the faculty fellowship is equal to his rostered salary. It is the responsibility of faculty members who have been awarded faculty fellowships and who receive concurrent non-University awards to inform the Dean of Faculties, Dean of the Graduate School, and the Dean of his school or college immediately of the terms of such awards. The normal procedure in these cases is to include with the letters of notification copies of the award letters from the outside granting agencies, with all attachments and enclosures. Some non-University awards fail to provide reimbursement for the University's share of the cost of fringe benefits, including retirement. The University will, in these cases, assume such cost and continue contributions to fringe-benefit programs based on the full salary of the faculty member involved.

H. Recipients of Faculty Fellowships

Faculty fellowships are awarded with the understanding that the recipients intend to continue service on the faculty of the University for a minimum of one academic year after termination of the fellowship.

I. Report of Publication and Creative Effort

Same as III.G.

V. Summer Research Initiation Faculty Fellowships

A. Purpose

The summer research initiation faculty fellowship program is designed to provide an opportunity for persons who have recently entered

academic life to make a start on programs of research and creative work. It is not the policy of the Council to aid projects that should be supported by departmental budgets, to make loans, or to provide support for projects whose purpose is the improvement of teaching or the preparation of classroom materials or manuscripts for textbooks, or equipment required for general departmental use or for outfitting a laboratory for multipurpose use.

B. Term and Stipend

Awards will be made for a two-month period between the end of the spring and the beginning of the fall semesters. The faculty member will receive a salary for the two-month term of the fellowship prorated on his actual salary during the preceding academic year. No advances will be made on salaries or associated grant-in-aid funds.

C. Eligibility

Summer research initiation faculty fellowships are available to persons who are full-time members of the faculty with the rank of assistant professor only, and who have, during their academic careers, held full-time professorial appointments for a total of not more than three years up to the time of the proposed fellowship. Visiting faculty members are eligible for summer research initiation faculty fellowships only in extraordinary circumstances.

D. Applications

Application procedures are the same as for the regular faculty fellowship program (see IV.D.), except that the deadline for receipt of applications by the Secretary of the Council, Regent Hall 201, is October 31 and except that application is made on a different form. Applications for summer research initiation faculty fellowships must be approved by the dean of the applicant's school or college and by the department chairman.

E. Teaching Responsibilities

Applicants for summer research initiation faculty fellowships must be able, without disrupting the teaching schedules of their departments, to free themselves from teaching responsibilities during the summer for which they are making application.

F. Relationship to the Regular Faculty Fellowship Program

The summer research initiation faculty fellowship program supplements the regular faculty fellowship program; award of the former is without prejudice to eligibility for the latter.

G. Provisions of the Faculty Fellowship Program Applicable to the Summer Research Initiation Faculty Fellowship Program

The provisions of Sections F and H of Part IV above are applicable to the summer research initiation faculty fellowship program.

H. Associated Grants-in-Aid

Applicants for summer research initiation faculty fellowships normally will not require grants-in-aid in connection with their fellowships. In special cases, however, such support may be appropriate and may be requested.

VI. Other Requests

Requests in the following categories lie outside the scope of the Council:

- A. Grant-in-aid requests totalling more than \$5,000;
- B. More than one grant for the same project;
- C. Requests involving general-purpose facilities, laboratories, and institutes, especially when the requests require expenditure of substantial sums;
- D. Requests for funds for educational experimentation (i.e., improvement of teaching methods, better faculty utilization, etc.);
- E. Publication cost (applications may be made to the Committee on University Scholarly Publications);
- F. Library materials.

VII. Reprints and Page Costs

The Council will, wherever possible, reimburse faculty members reasonable costs of page charges or up to the first 100 reprints without covers of articles published in professional and scholarly journals, provided that no other funds are available. The Council does not support the costs of reprints of review articles, book reviews, or articles in the popular press, or general encyclopedias. Authors may request payment of reprint expenses by presenting a brief written application, together with the invoice from the vendor, plus a copy of the reprint. The University will pay the invoice directly. Alternatively, the author may pay the invoice himself and request reimbursement by submitting evidence (invoice or cancelled check) of such payment, plus a copy of the reprint with a brief written application. If the invoice submitted for payment is for more than 100 reprints, it should list the cost of 100 reprints separately. Author's requests should indicate whether or not outside funds are available to cover the proposed payment or reimbursement.

VIII. Acknowledgement and Copyright

If publications result from the work, appropriate acknowledgement of the support of the Council on Research and Creative Work should be made and a copy of the publication sent to the Council Secretary, Regent Hall 201. Grantees may, in anticipation of financial remuneration, make application for a copyright covering material published. If they receive income from royalties pursuant to the copyrights, they are expected to return such royalties to the Council, up to the amount of their grants.

GRANT-IN-AID

Date Received in Graduate School

Name of Applicant (Printed)

UNIVERSITY OF COLORADO
Graduate School

Council on Research and Creative Work
Application for Grant-in-aid

Instructions and Conditions

(Please read carefully before completing application)

Consult the latest (September, 1969) Policies and Procedures of the Council before completing this application. If you do not have a copy, call the Secretary of the Council on Research and Creative Work in the Graduate School, ext. 7400.

Complete all parts of this form; only one copy need be submitted. If the answer is None or Not Applicable, please so indicate. Incomplete forms will be returned without Council action.

Because Council funds are limited, all applicants are expected to seek support from outside agencies or foundations prior to or concurrent with their application to the Council. Such efforts are taken into consideration by the Council in its deliberations.

If the applicant needs information about appropriate agencies, he should call the Administrative Assistant in charge of Research in the Graduate School, ext. 7400.

Regular University business procedures must be followed in the disbursement of grant funds.

Date of application _____

1. Applicant's Name _____

2. Department _____

3. Title of Project _____

4. Period of Grant-in-Aid

Beginning _____ Ending _____

5. Personal Data:

a. Highest earned degree _____
Institution _____
Date _____

b. Positions held (Start with present and go backward in time).

Position (Rank)	Institution	Dates
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

c. Include in this space or attach a list of your major publications, identifying with an asterisk those attributable to previous Council grants:

6. Financial Support:

a. All outside support within last five years:

Title	Agency	Amount	Dates
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

b. University of Colorado Faculty Fellowships, Summer Research Initiation Faculty Fellowships, and Grants-in-Aid during the past five years:

Title	Type of Award ¹	Amount	Dates
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

c. Applications made for extramural support of this project:

Title	Type of Award ¹	Amount	Status ²
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

¹Indicate F for fellowship and R/G for research grant.

²Indicate Date of Filing completed application, e.g. (10/12/68); AWD for "awarded", DCD for "declined", or UR for "under review".

7. Describe briefly the program you wish to undertake. It is important that you provide information so Council members will understand clearly (1) the nature of your work, (2) the procedures you will follow, (3) the importance of the work to the advancement of knowledge in your field, (4) the present state of the art (citing relevant literature), (5) the accomplishment you expect to achieve by the end of the grant period. Make your statements intelligible to educated laymen.

Budget for Grant-in-aid

If travel funds are awarded by the Council and an outside grant is subsequently funded that includes a travel allowance, such funds must be used in preference to Council travel funds.

There will be no budget code changes unless a written request is submitted to and approved by the Council.

Explanation of Code Numbers:

- Code 2 - Assistants' Salary
- Code 4 - Hourly Wages
- Code 5 - Supplies & Expense
- Code 8 - Equipment

A. Itemized Expenses:

- | | | | |
|----------------------------|-----|-------------------------------|----------|
| (1) Assistance | | | |
| a. Assistants' Salary | (2) | No. hrs. _____ @ \$ _____/hr. | \$ _____ |
| b. Students | (4) | No. hrs. _____ @ \$ _____/hr. | \$ _____ |
| c. Technicians | (4) | No. hrs. _____ @ \$ _____/hr. | \$ _____ |
| d. Clerks | (4) | No. hrs. _____ @ \$ _____/hr. | \$ _____ |
| (2) Supplies (Specify) | (5) | | \$ _____ |
| (3) Travel (Specify) | (5) | | \$ _____ |
| (4) Manuscript Preparation | (5) | | \$ _____ |
| (5) Other (Specify) | (5) | | \$ _____ |
| (6) Equipment (Specify) | (8) | | \$ _____ |

TOTAL AMOUNT REQUESTED \$ _____

B. Explanation of major budgetary items (include specification of duties of students):

The applicant asserts that he has read and concurs with the instructions appearing at the top of page 1.

Signature of Applicant

Endorsement

6. Department Chairman:

- a. Supporting statement by Department Chairman (which should include an evaluation of the applicant's ability to do the proposed research and creative work):

b. Is the applicant a full-time member of the faculty? Yes _____ No _____

c. Recommend)
Not recommend) proposal for support _____
Department Chairman

COMMITTEE ON UNIVERSITY SCHOLARLY PUBLICATIONS

I. Objective

The Committee on University Scholarly Publications was established on July 22, 1966, by the Committee on the Coordination of Research (now defunct) to determine those publication projects of the faculty that may appropriately be subvented by funds at the disposal of the Committee.

II. Application Procedure

A detailed letter should be submitted to the Dean of the Graduate School, Regent Hall 201, with the following information:

- a. Title of proposed publication or journal
- b. Name of publisher
- c. Type of support requested
- d. Amount requested and for what period
- e. Budget breakdown with substantiation of each item
- f. Outside funding sought and action taken.

Reviewers' comments or a copy of the journal, whichever is more appropriate, should accompany the request.

III. Page Costs

The Committee will consider applications for support to cover page costs, provided that

- a. The Committee has the necessary funds at its disposal
- b. The applicant is not covered by a grant or other research support providing funds for page costs
- c. The applicant can provide an adequate explanation for his delay in publishing the results of his research if his grant has lapsed
- d. The applicant has made every effort to obtain support from all other possible sources
- e. The journal publishing the applicant's work reflects and supports genuine, scholarly achievement
- f. The applicant makes use of any accrued institutional dues when determining the amount he wishes to request.

IV. Journal Subvention

The Committee will consider applications for subvention of scholarly journals, provided that

- a. The journal is representative of genuine, scholarly effort with an appeal transcending parochial interests and with a potential national distribution
- b. The funds requested are not to be used to fund editorial salaries
- c. Upon subvention by the Committee, the person or persons responsible for the founding and publishing of a journal endeavor to establish the journal as a self-supporting scholarly publication
- d. The department with which the applicant is affiliated is willing to provide a reduced teaching load when necessary and will contribute a portion of the support required as an indication to the Committee that the proposed journal will bring credit to the department and the University of Colorado
- e. Subvention by the Committee shall not exceed a period of three years, after which re-application must be made each year for further support.

V. Publication Subvention

The Committee will consider applications for subvention of manuscripts, monographs, or any unusual or experimental creative works of quality which are not generally appropriate in content or structure for publication by scholarly journals, provided that

- a. The Committee may judge or have judged by outside competence said work
- b. The applicant is not covered by grant or other research support which provides funds for publication of said work
- c. The applicant will have the work copyrighted in his name
- d. The applicant will sign an agreement assigning his royalty interest to the Regents of the University of Colorado to the extent of double the amount advanced by the Committee with the understanding that the applicant is under no obligation to repay the advancement out of his own funds if no royalties are received and that any royalties above and beyond double the advancement will be directed back to the applicant.

VI. Notification of Awards

The Committee will meet at least once a semester and more frequently as required by the volume of requests. Applicants will be notified by mail of the Committee's decision by the Dean of the Graduate School.

12/1969