Arts Research Board Policy

History of the ARB
The Arts Research Board (ARB) has its roots in the Research Advisory Committee (RAC) for the Arts Faculties, which originally reviewed and allocated summer research stipends to faculty applicants. In 1974, the RAC was renamed the Arts Research Board (ARB); its membership increased from ten to thirteen and its mandate expanded to include the responsibility of allocating funds to support research programs and research-related conference travel in the Humanities, Social Sciences and Business. Among the events that precipitated the changes were the reorganization of McMaster’s administrative structure, a budget increase in its Grants-in-aid program and Canada Council’s introduction of the General Research Grants Program and Program Grants in support of groups of researchers. The six ex officio members included the Vice-President (Academic), the Deans of the Faculties of Business, Humanities and Social Sciences, the Dean of Graduate Studies and the Director of Research Services. There were six members-at-large, two from each of the Faculties of Humanities, Social Sciences and Business (to be nominated by their respective Deans) and one chair, to be nominated by the Faculty Deans in rotation.

ARB Mandate and Objectives
The key objective of the Arts Research Board is to cultivate a strong research base among the Faculties of Humanities, Social Sciences and Business. Specifically, ARB supports a) research programs of new faculty, b) new and/or collaborative, interdisciplinary and/or multidisciplinary research initiatives, c) ongoing research that has a budget less than the minimum required for SSHRC applications, d) research related conference travel and e) publication of peer-reviewed articles. It is expected that funding will lead to increased individual and group participation and success in external grant competitions. Seed funding is the Board's priority.

Preferential treatment will be given to new faculty. Applicants to ARB who are not new faculty will be required to demonstrate exceptional circumstances indicating why they are unable to apply to SSHRC and/or why they require less than $7,000 in funding. Note: ARB funding is not intended to support applicant’s degree completion.

ARB Policy Review
The ARB Policy will be reviewed annually by the Chair of the Board in consultation with the Director of Research Services. Changes to the Policy require approval by the Board.

ARB Membership and Quorum
The Arts Research Board is comprised of seven members ex officio and four members nominated by Vice-President, Research in consultation with their respective Deans. These appointments are for a staggered three-year term.

7 Ex Officio:
Vice-President, Research
Dean of Graduate Studies
Dean of Business
Dean of Humanities
Dean of Social Sciences
Dean of Science
Executive Director, Office of Research Services (Board Secretary)

4 Nominated:

1 Chair (rotating among 3 Faculties)
1 Business
1 Humanities
1 Social Sciences

Quorum for the ARB Board is five members. Abstentions are permitted only when a conflict of interest exists.

Budget Sources
A SSHRC Institutional Grant (SIG) is the primary source of income for the ARB awards. Other sources may include the SSHRC General Research Fund (GRF) and a University contribution to supplement the SIG.

SSHRC Institutional Grant (SIG)
- The grant is based on SIG Eligible Full-time Teaching Staff and performance in All SSHRC research support programs (not just standard and strategic) in the preceding three years. Calculations ($) will be adjusted annually, although awards are granted for three year periods.
- Formula:
  o Head Count: $50/faculty, whose discipline falls within SSHRC mandate, including full-time teaching staff:
    ▪ All academic staff who are teachers and/or senior academic staff (e.g., Chairs, Deans and Directors,
    ▪ Full-time research staff who have an academic rank and a salary scale similar to teaching staff; and
    ▪ Staff appointed for a minimum of 12 months who are teaching a full load.
  o Performance: based on the university's average performance in all SSHRC research support programs in the previous three years of competitions*, and calculated at the rate of:
    ▪ 23% of first $100,000 awarded;
    ▪ 20% of next $400,000 awarded; and
    ▪ 14% of the remainder.

*The method of calculation also includes multi-institutional grants in order to distribute credit for performance to all co-applicants.

SSHRC General Research Fund (GRF)
- Funds remaining in SSHRC grants after the 12-month automatic period of grace provided by SSHRC at the end of a grant period are reclassified by SSHRC as a GRF and transferred to the University. Any funds remaining after this period, are allocated automatically by the University to the ARB for distribution through the research and conference competitions.

University Contribution
- As of fiscal year 2003/2004 the McMaster contribution is $70,000.
• The University contribution is to be reviewed annually by the Vice President, Research

Categories of ARB Grants
ARB conference competitions are held each Spring and Fall. Competitions for all other grants are held in the Fall only. Deadlines for these competitions are March 31 and October 31.

The following are the categories of grants supported by ARB:

Conference Attendance and Representational Activities
The objectives of ARB travel grants are to support participation in national and international conferences of major scholarly significance, as well as representational activities for scholars who hold executive office in scholarly organizations; thereby contributing to the advancement and dissemination of knowledge in the Humanities, Social Sciences and Business and the enhancement of the stature of the participant and the University. Presenting a major exhibition of work at a national or international conference will also be supported but funding will be at the discretion of the Faculty Conference Sub-Committee. Conference funding cannot be granted only for conference attendance.

The maximum allowable Conference grant is $4,000 over two fiscal years (April 1 to March 31).

Research/Creative and Performing Arts Grants
The objective of ARB Research/Creative and Performing Arts Grants is to cultivate a strong research base through the support of high quality research and creative work. It is expected that funding will lead to increased individual and group participation and success in external grant competitions. Seed funding is the Board's priority. These grants support new faculty, new research initiatives and small-scale projects.

The maximum allowable for the Research/Creative and Performing Arts and Scholarly Publications grants is $7,000 per fiscal year (April 1 to March 31).

Awards are granted for a period of 24 months beginning January 1st. Any grant funds not used by the end of that period will be returned to the ARB.

Scholarly Publications
The objective of these grants is to support and enhance manuscripts accepted for publication by a press that employs peer-review.

The maximum allowable for the Research/Creative and Performing Arts and Scholarly Publications grants is $7,000 per fiscal year (April 1 to March 31).

Awards are granted for a period of 24 months beginning January 1st. Any grant funds not used by the end of that period will be returned to the ARB. Publication grants can be applied retroactively within a 12 month period, e.g. all publication costs between January 1 to December 2015 could be submitted for adjudication in the Fall 2015 applications (with the grant start date of January 1, 2016).

Major Collaborative Project Seed Grants
The program is designed to provide critical seed funding to facilitate the subsequent development of strong, competitive proposals of an interdisciplinary and/or multidisciplinary nature for submission to external research sponsors.
The maximum allowable Major Project Seed Grant is $15,000 for up to 24 months, commencing the January following receipt of the award. To be eligible for future ARB funding, grantees must apply for a major; external grant for over $100,000 within two years.

Eligibility Criteria
To be eligible for ARB funding an applicant must be affiliated with McMaster University and must be eligible for SSHRC funding under the SSHRC Institutional Grant (SIG) Program.

The following will be considered affiliated with McMaster University:

- Faculty members of McMaster University with a tenured or tenure-stream academic appointment.
- Former faculty members of McMaster University who have retired while holding a tenured academic appointment.
- Persons holding at least a one-year appointment at McMaster University. In the event the grantee's appointment at McMaster ends, unspent funds remaining at that time will be returned to the Arts Research Board.
- Postdoctoral fellows who are conducting scholarly activity in the Humanities or Social Sciences and who are supervised by a faculty member of McMaster University who holds a tenured or tenure-stream appointment.
- Other persons, including Adjunct Professors and Professional Librarians, who hold permanent appointments at McMaster University and who meet SSHRC eligibility criteria for SIG funding.

Applications from postdoctoral fellows and individuals holding contractually-limited appointments must include a work plan showing how the work for which funds are being sought will be completed within the contract period.

Applications from postdoctoral fellows must also include a letter of support from their supervisors.

Students and visiting fellows or scholars are not eligible for ARB funding. However, SSHRC encourages the employment of students in SIG-funded research.

To be eligible for future ARB funding, researchers who have been awarded ARB funds previously must submit a final report to ROADS.

Individuals who hold teaching track or non-tenure track positions are eligible to apply for ARB funding for research and travel, provided they obtain explicit permission from their Faculty Deans.

Adjudication Process
Standard Research, Creative & Performing Arts, Scholarly Publications, and Major Collaborative Project Seed Grant applications:

- These applications are adjudicated by the full Board annually.
- Major Collaborative Project Seed Grants and Standard Research Grants are adjudicated separately with priority funding going to the Major Project Seed Grants.

Conference Grant applications:
• Conference applications are adjudicated by the Faculty Conference Sub-Committee consisting of the Faculty Dean and the Faculty Representative, and then shared with and approved by the full Board via email correspondence.

New Scholars
Applicants may request consideration as new scholars. Applications from new scholars will be adjudicated separately from all other applications. To have their applications adjudicated as new scholars, applicants must demonstrate that they have not been the principal investigator on a previous successful research grant from the Tri-Agency (SSHRC, NSERC, CIHR), and that one or more of the following applies:

1. They completed their highest university degree within five years of the competition deadline;
2. They have held a tenure-track university appointment at any university for five years or less;
3. They have held an appointment at a university where tenure-track positions are offered, but never a tenure-track position; or
4. They have had their career interrupted or delayed for family reasons.

As postdoctoral fellows satisfy the eligibility criteria, they may be considered new scholars.

When the applicant is a member of the Board the remaining Board members will rank the application. The average rank will be determined by the actual number of adjudicators.

Ranking Scale
Starting in 2016, committee members will be asked to rank Major Collaborative Project Seed Grants using the same scoring system as Standard Research/Creative and Performing Arts and Scholarly Publications applications. Applications will be ranked using the following scale:

1 – Best
2 – Middle
3 – Lowest

Feedback to Applicants
Board members are not required to submit comments on the proposals. Feedback will be provided to applicants who request it. Deans will provide feedback to their own faculty. For faculty outside Social Sciences, Humanities, Business and Science, the Board members will provide the information to the Chair who will convey it to the applicant.

Delegation of Chair's Comments
When there is a perceived conflict of interest in the provision of the Chair’s comments, the Office of Research Services will find an alternate Chair (e.g. an acting chair or a former chair) to provide comments.

Allocation of Funds
ARB funds are distributed as follows:

• Research, Creative and Performing Arts, Publications and Major Collaborative Projects – 67%
• Conference – 33%

The Conference competition funds are distributed as follows:
• Spring Competition – 65%
• Fall Competition – 35%

Conference funding is allocated among four accounts, one each for the Faculty of Humanities, the Faculty of the Social Sciences, the Faculty of Business, and Other. The funding allocated to each Faculty is based on the number of researchers who are eligible for SSHRC funding. For the current competition funds were distributed as follows:

- Business – 20%
- Humanities – 35%
- Social Sciences – 36%
- Other – 9%

Where there are surpluses or unallocated conference funds for a faculty, these funds will be carried forward to the next conference competition budget for the faculty where the surplus or unallocated funds originated.

Application Processes, Evaluation Criteria and Eligible Expenditures

Application forms for the ARB competitions are available on the Research Office for Administration, Development, and Support (ROADS) website.

Release Time Stipends (RTS) are not allowed under SIG rules. RTS requests must be addressed at the institutional level.

Standard Research and Creative & Performing Arts Applications

Application Process
By the application deadline, applicants must submit to ROADS one signed paper copy or one electronic copy of the Standard Research and Creative & Performing Arts application form, including comments from the Department Chair.

Applications from scholars holding contractually-limited appointments and postdoctoral fellows must include a workplan (maximum one page) to demonstrate that the activities for which they are requesting funding will be completed before their appointment ends.

Applications from postdoctoral fellows must also include a letter of support (maximum one page) from their supervisors.

Evaluation Criteria
Research and Creative & Performing Arts applications will be assessed for the following:

- Clarity, focus and appropriateness of the research objectives, research plan, and the theoretical and methodological approach;
- Extent of scholarly content and originality;
- Overall contribution of the research to the candidates long range research plan; and
- Applicant’s scholarly contributions relative to the stage of career (e.g., publications, reviews, abstracts, conference presentations over the last five years).
Eligible Expenditures
The Board will consider all essential direct operating expenditures within the following categories:

Transportation
Applicants are encouraged to use the most economical travel arrangements available and suitable to their requirements. Applications quoting higher fares because of a lack of planning will not be considered favourably by the Board. Alternate means, such as interlibrary loans, mail or telephone calls, for data collection should be utilized wherever possible.

ARB support is limited to economy-class air fare, or comparable rail or bus fare, as justified. Travel support for day trips is limited to current public transportation costs (e.g. GO Transit fare for trips to Toronto).

Kilometre Rates
The following University rates are to be used:

- 55¢ per kilometre for the first 5,000 kilometres driven; and
- 49¢ per kilometre driven after that

For more detail, see McMaster’s Reimbursements to Individuals for University Business Policy, found at: http://www.mcmaster.ca/bms/policy/accounts_payable/ap01-rem_univ_bus.pdf

Subsistence
The maximum per diems for Meals and Lodging are outlined in the table below.

Remuneration will not normally exceed 28 days. (The Board may be willing to consider requests that exceed 28 days provided: the applicant provides a rationale that justifies the longer support period, and specifies the manner in which the funds will be used in as economical a manner as possible.)

Day trips are not eligible for a subsistence allowance.

Subsistence funding will not normally be provided in excess of the daily rates noted below. Justification must be provided for requests that exceed the recommended rates. Scanned copies of original receipts must accompany expense report.

Meals: Rates to be used:
- In Canada: $51 CDN per diem maximum
- Outside of Canada: $51 US per diem maximum

Accommodation: Recommended Rates:
- In Canada: $120 CDN per diem maximum
- Outside of Canada: $120 US per diem maximum
**Personnel**
Research assistance, both student and technical, essential to the initiation, development and/or achievement of the objectives of the proposed research is eligible for support. The tasks and/or role, salary rates and employment term of the assistant should be clearly defined.

The following are the ARB standard rates for undergraduate and graduate student research assistants. Higher rates may be considered only if the need is well documented by the applicant.

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**Materials, Supplies & Services**
Reasonable and justified amounts for requirements such as postage, copying, long distance telephone calls and specialized data directly related to the proposed research are eligible for consideration.

**Equipment & Computer Services**
Equipment and computing needs are eligible for support only if clearly central to the research goals and the need is well documented. Equipment purchased with ARB funds remains the property of the University. McMaster's policy with respect to ownership and disposition of equipment applies.

**Conference Applications**

**Application Process**
By the application deadline, the following documents must be submitted to ROADS:

- one signed paper copy OR one electronic copy of the following application form, including comments from the Department Chair;
- one paper copy OR one electronic copy of the confirmation of invitation or acceptance of paper; and
- one paper copy OR one electronic copy of the abstract.

Applications from scholars holding contractually-limited appointments and postdoctoral fellows must include a workplan (maximum one page) to demonstrate that the activities for which they are requesting funding will be completed before their appointment ends.

Applications from postdoctoral fellows must also include a letter of support (maximum one page) from their supervisors.

**Evaluation Criteria**
Conference Applications will be reviewed for the following:

- Significance of the conference (e.g., the conference’s importance to the dissemination of results or research);
- Justification of the financial expenditures (e.g. is the budget justified for the Conference proposed);
- Contribution to the candidate’s long range research plan; and
• Applicant’s scholarly contributions relative to the stage of career (e.g., publications, reviews, abstracts, conference presentations over the last five years).

Priority will be given to applicants requesting support for the presentation of a peer-adjudicated submission at a major, learned conference.

The Arts Research Board will consider applications for travel grants by Canadian scholars who hold office in international scholarly organizations to attend management and policy meetings of these organizations.

In cases where a joint paper is to be presented, only one author will be supported unless an exceptional circumstance can be demonstrated.

Eligible Expenditures
Funds awarded in a competition are exclusively for the conference applied for (conference named in application awarded) and cannot be used for another conference. An expense report for Conference travel must be submitted within one year of the grant award. Presenting a major exhibition of work at a national or international conference will also be supported but funding will be at the discretion of the Faculty Conference Sub-Committee. Conference funding cannot be granted only for conference attendance.

Transportation
Applicants are encouraged to use the most economical travel arrangements available and suitable to their requirements. ARB support is limited to economy-class air fare, comparable rail or car mileage, the latter based on the current University rate. Health insurance costs are not covered by the Board.

Kilometre Rates
The following University rates are to be used:

- 55¢ per kilometre for the first 5,000 kilometres driven; and
- 49¢ per kilometre driven after that.

For more detail, see McMaster’s Reimbursements to Individuals for University Business Policy, found at: http://www.mcmaster.ca/bms/policy/accounts_payable/ap01-rem_uni_bus.pdf

Subsistence
Conference subsistence is limited to 5 days at the maximum listed below. Justification must be provided for requests that exceed the recommended rates. Scanned copies of original receipts must accompany expense report.

Meals: Rates to be used:

In Canada: $51 CDN per diem maximum
Outside of Canada: $51 US per diem maximum

Accommodation: Recommended Rates:

In Canada: $120 CDN per diem maximum
Scholarly Publications Applications

Application Process
By the application deadline, applicants must submit to ROADS one signed paper copy or one electronic copy of the Scholarly Publications application form, including comments from the Department Chair.

Applications from scholars holding contractually-limited appointments and postdoctoral fellows must include a workplan (maximum one page) to demonstrate that the activities for which they are requesting funding will be completed before their appointment ends.

Applications from postdoctoral fellows must also include a letter of support (maximum one page) from their supervisors.

Evaluation Criteria
Applications for scholarly publications grants will be reviewed for the following:

• Availability of alternative outlets for publication at lower or zero cost;
• Overall contribution of the publication to the candidate’s research and publication record; and
• Applicant’s scholarly contributions relative to the stage of career (e.g., publications, reviews, abstracts, conference presentations over the last five years).

Eligible Expenditures
Application may be made for incidental costs associated with publications.

• Photographs
• Print reproduction
• Permission Fees
• Professional Indexing (applicants requesting support for professional indexing must provide three (3) estimates for this service. The estimates are to include the hourly rate and the number of hours required to do the job.)
• Page Charges
• Open access journal fees up to a maximum of $1000 (applicants requesting support for open access fees must give a rationale for how the support will facilitate in the seeding of new research.)

Ineligible Expenses
• Conference and symposium proceedings
• Copy editing
• Direct subsidies to publishers
• Hiring a Research Assistant

Note: translation costs are generally not eligible but will be considered under exceptional circumstances. The applicant must provide a clear justification for the necessity of translation to the project and demonstrate that the proposed translation costs are the lowest possible by providing at minimum three estimates.

Any publications supported by ARB funds shall acknowledge the assistance from the University.
Major Collaborative Project Seed Grants

Researchers who intend to apply for Major Collaborative Project Seed Grants are encouraged to contact their Faculty Deans and ROADS for assistance and direction in proposal development.

Application Process

By the application deadline, applicants must submit to ROADS one signed paper copy or one electronic copy of the Major Collaborative Project Seed Grant application form, including comments from the Department Chair.

Applications from scholars holding contractually-limited appointments and postdoctoral fellows must include a workplan (maximum one page) to demonstrate that the activities for which they are requesting funding will be completed before their appointment ends.

Applications from postdoctoral fellows must also include a letter of support (maximum one page) from their supervisors.

Evaluation Criteria

Major Project Seed Grant applications will be assessed for the following:

- Are interdisciplinary and/or multidisciplinary and involve at least three investigators, one being the Principal Investigator on the project;
- A clear and specific plan for submitting an application for a major external grant request for over $100,000 within two years;
- Have a maximum requirement of 24-months funding and maximum support of $15,000 over the grant period;
- Clarity, focus and appropriateness of the research objectives, research plan, and the theoretical and methodological approach;
- Extent of scholarly content and originality;
- Overall contribution of the research to the candidates long range research plan; and
- Applicant’s scholarly contributions relative to the stage of career (e.g., publications, reviews, abstracts, conference presentations over the last five years).

Eligible Expenditures

Applicants must itemize and justify the financial contribution requested from the ARB. Normally, the Board's funding will be limited to one-time or short-term requirements. The budget must detail any financial and/or in kind University support negotiated through the Department, Faculty and other university office(s) in support of project requirements (e.g. equipment, networking services, space, availability of specific facilities and resources and release time). McMaster’s policy with respect to ownership and disposition of equipment applies.

The Board will consider all essential direct operating expenditures within the following categories:

Transportation

Applicants are encouraged to use the most economical travel arrangements available and suitable to their requirements. Applications quoting higher fares because of a lack of planning will not be considered favourably by the Board. Alternate means, such as interlibrary loans, mail or telephone calls for data collection should be utilized wherever possible.
ARB support is limited to economy-class air fare, or comparable rail or bus fare, as justified. Travel support for day trips is limited to current public transportation costs (e.g. GO Transit fare for trips to Toronto).

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Subsistence funding will not normally be provided in excess of the daily rates noted below. Justification must be provided for requests that exceed the recommended rates.

**Personnel**

Research assistance, both student and technical, essential to the initiation, development and/or achievement of the objectives of the proposed research is eligible for support. The tasks and/or role, salary rates and employment term of the assistant should be clearly defined.

The following are the ARB standard rates for undergraduate and graduate student research assistants. Higher rates may be considered only if the need is well documented by the applicant.

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Equipment & Computer Services
Equipment and computing needs are eligible for support only if clearly central to the research goals and the need is well documented. Equipment purchased with ARB funds remains the property of the University. McMaster's policy with respect to ownership and disposition of equipment applies.

Other
For Major Project Seed Grants other justified costs associated with, but not limited to, such needs as workshops, consultations and application development are eligible for consideration.

Applicants may load project expenditures on either the front or back end of the grant period but may not exceed $10,000 during the first twelve (12) months.

Note: Depending on the number of high-quality applications received, the ARB may be unable to fund all applications at the level requested.

Post Award Guidelines

Deviation from Proposed Activities and/or Budget
All conditions specified in the formal grant notification and relevant program requirements must be respected. Unless otherwise specified, grantees may generally deviate from the proposed research activities and/or schedules. Furthermore, they are not required to adhere strictly to the allocation of funds set out in the application as long as they use their grant for the broad purpose for which it was originally awarded.

Extension Requests
Extension requests must be submitted in writing to ROADS with a clear justification for the request and plans for project completion. Extensions are not permitted for Conference Attendance & Representational Activities projects.