Introduction

The Action Team on Arts and Humanities proposes that the University of Oklahoma establish an “Institute for Research and Innovation in the Arts and Humanities,” one that would offer a physical space as well as administrative resources to help those in the Humanities and Arts pursue their research. Through workshops, seminars, lectures, post-docs, fellowships, and symposia, scholars both within and outside the University of Oklahoma would have the opportunity to pursue interdisciplinary research. In addition to providing a physical setting for collaboration, the Institute would provide resources for those in the Humanities and Arts seeking outside funding opportunities. The Institute would be built on existing strengths at the University of Oklahoma, and while it is too early to delineate precisely what these foci would be, several good options come to mind. Thus, the Institute might have five areas of on-going focus: (1) the American West, its Peoples, Arts, and Environment; (2) Science, Technology, Art, and Culture; (3) the Institute for the American Constitutional Heritage; (4) World Cultures, Literatures, Arts, and Languages; and (5) the digital humanities. The Institute would expand and enrich OU’s commitment in these fields and thereby lift the university’s national research profile. To insure that the work of other scholars and artists was not neglected, the Institute would also choose a theme each year (or every other year) that would stand outside these areas of focus, a theme that would attract researchers both from within OU and from outside it. In keeping with the goals outlined in the original Aspire 2020 document, the Institute represents a bold departure from the past and has enormous possibilities to enhance the research standing of OU.

The Action Team on Arts and Humanities, co-chaired by Mary Margaret Holt, Pamela Genova, and Samuel J. Huskey met seven times over the months of April, May, and June 2010. The first meetings were devoted to an introduction of the seven questions we were to consider, as well as listening to the concerns and suggestions of our colleagues. Once we had a full sense of the range of opinions on the current state of the research climate for the arts and humanities at OU, we began to address the specific questions raised in the “Terms of Reference” document for the Action Team (Appendix 1). Several people volunteered to research the issues raised in the questions and then present their findings to the team. Their work forms the basis of the material presented here; their individual reports may be found in the appendices to this document.

Since the questions in the Terms of Reference document gave structure to our work as a team, the members of the team believe it best to organize this report according to the list of questions posed. Our recommendations appear in the conclusion of the report.
Question #1

Building upon an existing strong foundation of arts and humanities at OU, what actions can be taken to assist arts and humanities faculty in obtaining additional external funding to support their scholarship? What mechanisms are used elsewhere and could they be adopted at OU?

There is indeed a strong foundation of research in the arts and humanities at OU. We have a number of areas of real strength: world-class collections and museums, a leading journal in world literature, several centers and institutes devoted to specific fields of study, and—of course—productive scholars and artists committed to the creation and dissemination of knowledge. We are certain that productivity in research can and will improve as a result of the recommendations included in this report. While much has been accomplished in the arts and humanities at OU, it is crucial that additional opportunities and support be developed.

Rebecca K. Huskey (Classics and Letters) and Stephanie Hom (Modern Languages, Literatures, and Linguistics) compiled information on funding support in place at other institutions (see Appendices 4 & 5) and found that a system of support dedicated to arts and humanities scholars and artists applying for grants and fellowships is an essential element common to successful and vibrant centers for arts and humanities across the country and abroad.

Question #2

What actions can be taken to assist other disciplines at OU (e.g., physical science, life science, engineering) in understanding the value of engaging arts and humanities in their research and to incentivize that engagement? And Vice versa? What mechanisms are used elsewhere and could they be adopted at OU?

For faculty in the sciences and engineering to understand and appreciate the work of their colleagues in the arts and humanities (and vice versa), what is needed first is a forum that would bring faculty from all disciplines together to discuss the enterprise of research itself. Currently, faculty members tend to stay focused on their own departments, venturing outside only occasionally. In such an environment, interdisciplinary research partnerships develop more by chance than by design. A forum that regularly brings together faculty members from different disciplines to talk about their work would increase the likelihood of the kind of fortuitous encounters that can lead to breakthroughs in research. (see Appendix 2). Indeed, an example of this occurred during the meeting in which we discussed this question. After Chris Weaver (Computer Science) spoke about his interdisciplinary work with digital humanities scholars at Stanford and Oxford, Marcia Haag (Modern Languages, Literatures, and Linguistics) immediately proposed a project that she
had hoped to undertake for years, but lacked the background in computer science to initiate.

With regard to other institutions, there are a variety of models to review. For example, the Office of the VPR can organize faculty lecture series that highlight a range of areas of research focus, helping to bridge disciplinary gaps. At some universities, specific departmental events, such as workshops, conferences, or lectures, are showcased on the VPR website and in print format.

Question #3

How can arts and humanities help drive the establishment of truly creative, inspiring environments (physical as well as programmatic) for scholarly and creative pursuits across all disciplines on the Norman Campus?

From Ovid’s *Metamorphoses* to the latest experiments with the collage form in theater, creativity, transformation, and innovation have always been essential elements of the arts and humanities, so it is fitting and appropriate for arts and humanities scholars to spearhead the design, development, and direction of a movement for the creation of inspiring environments for interdisciplinary research on the Norman campus.

One key word in this question is “environments.” As Farokh Mistree (Aerospace and Mechanical Engineering) pointed out during the discussion of this question, structure influences behavior: a structure that encourages people from different disciplines to come together regularly will make meetings of the minds habitual, not merely chance occurrences. Moreover, we have evidence from centuries of experiments with art and architecture to show that buildings can inspire people to think new thoughts.

In every meeting of this action team, talk has turned to the need for both a physical space (or spaces) and programs that will promote collaborative research in the arts and humanities. Thanks to the work of Michele Eodice, Stephanie Hom, Rebecca Huskey, and Charlene Dell, we have extensive data about centers for arts and humanities across the nation and abroad, and Rob Griswold has proposed an arts and humanities institute that would build on existing strengths at OU (see below, question #4).

Thus we imagine a physical structure that would house the Institute for Research and Innovation in the Arts and Humanities. The building itself could be an inspiration for its occupants if it made use of the latest in architectural design and environmentally sound technology not only to conserve power, but also to generate it. Such an institute would be most in line with the spirit of Aspire 2020, since it
would be a bold and innovative idea that would boost the University of Oklahoma’s reputation as a research institution.

Question #4

What scholarly opportunities exist, or might be created, for the arts and humanities based upon existing or emerging assets at OU?

In his presentation, Rob Griswold demonstrated the great potential for an institute at OU that pools its existing resources and expands work in areas of strength already flourishing in the arts and humanities (see Appendix 3). There are many such areas that could be highlighted in such an institute, and we have identified a number of examples of notable research focus at OU, areas that cross arts and humanities disciplinary boundaries and involve the research of many OU faculty members and graduate students, particularly those clustered around following themes: (1) the American West, its Peoples, Arts, and Environment; (2) Science, Technology, Art, and Culture; (3) the Institute for the American Constitutional Heritage; (4) World Cultures, Literatures, Arts, and Languages; and (5) the digital humanities.

OU has much to be proud of in the past and present work of faculty and graduate students in these realms, and the expansion of these areas of research, under the aegis of the proposed Institute for Research and Innovation in the Arts and Humanities, would heighten significantly the opportunities for future productivity of our arts and humanities faculty and graduate students.

Question #5

What metrics should be used for competitive analyses between arts and humanities programs at OU and those at other institutions? Most of the quantitative analyses performed to date by the VPR Office have focused on physical science and engineering.

As Marcia Haag (Modern Languages, Literatures, and Linguistics) demonstrated in her presentation on this question, there are positive and negative aspects of consulting metrics, and we should be wary of attempts to gauge creativity and innovative thinking. Nevertheless, it is important for a university to be competitive with its peer institutions, so meaningful measures of arts and humanities programs should be developed.

One of the five “Phase I Indicators” that the AAU uses to determine the eligibility of an institution for membership in its ranks is “Faculty arts and humanities awards,
fellowships, and memberships.”\(^1\) If one of the goals of the University of Oklahoma is to be invited to join the AAU, then it makes sense to include the AAU’s list of faculty arts and humanities awards, fellowships, and memberships among the metrics to be used for competitive analyses between arts and humanities programs at OU and those at other institutions. The list is reproduced in Appendix 4.

But judgments about the quality of arts and humanities programs should not be based solely on a list of awards, fellowships, and memberships, because this metric alone does not directly assess the factors that make a real difference in the intellectual life of a university: undergraduate and graduate research and instruction, publications, performances, exhibitions, resources, facilities, opportunities for engagement, etc.

Simply put, a creative, innovative, and transformative project deserves a similarly creative, innovative, and transformative way of measuring its progress. Proposing such a metric before we have a clear vision of the project itself may hinder creative thinking and could endanger the integrity of the entire enterprise.

**Question #6**

What special funding mechanisms (e.g., endowments) might be effective in providing support for scholarship in the arts and humanities, as an augmentation of or inducement for external funding, including support for graduate students?

Pamela Genova (Modern Languages, Literatures, and Linguistics), Mary Margaret Holt (School of Dance), and Charlene Dell (Music) each researched special funding mechanisms at other institutions (see Appendices 5-7). Common to nearly every institution they studied is a special endowment for the arts and humanities. Such an endowment could have a dual purpose, as at Michigan State University, which funds the two areas of scholarship development (travel, acquisition of print and digital resources, etc.) and scholarship production (subventions for publications, assistance with mounting exhibitions and performances, and other expenses associated with producing the final product of a research endeavor.

Such support can be administered in such a way that it encourages faculty to seek external funding to complement whatever is available from the institution. Indeed, “seed money” grants could be made to help scholars develop projects to the stage where external funding becomes a possibility.

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An Institute for Research and Innovation in the Arts and Humanities would be especially helpful in creating opportunities for fundraising to support scholarly activity in the arts and humanities. A vital part of its mission could be creating special programs designed to attract the interest of private donors, corporations, and government agencies.

In our efforts to aim for excellence through Aspire 2020, the role of our graduate students is significant. Given the reciprocal relationship between productive faculty and productive graduate students, it is clear that the health of a graduate program can tell much about the health of a department or discipline more generally. Further, a strong graduate program is essential in the recruitment and retention of both our very best faculty and our very best graduate students.

Expanded support for teaching assistantships, research assistantships, research-related travel, and dissertation fellowships is sorely needed for graduate students in the arts and humanities at OU. Indeed, if the University of Oklahoma aspires to membership in the AAU, graduate student support of all kinds must be raised exponentially, since National Research Council rankings of departments and programs, an important consideration for membership in the AAU, hinge on the number of PhDs produced in a given period. As long as departments are forced to rely on ever-decreasing One Time Instructional Support (OTIS) to support graduate students, graduate education in the arts and humanities at the University of Oklahoma will be in peril. In our view, it is incumbent upon the Office of the VPR to provide expanded support and resources for graduate students.

**Question #7**

*What disincentives to research now exist within the arts and humanities and what actions can be taken to remove or mitigate their impacts?*

It is helpful to survey the surroundings before taking steps in a new direction, so the Action Team began its work in fact with this question, in order to identify any obstacles currently in place that might hinder progress towards the goals of Aspire 2020.

We asked those in attendance at the first meeting of this action team to identify the problems that they encounter regularly in trying to conduct their research. Four categories emerged from the discussion:

1. Need for a presence for the arts and humanities in the office of the VPR, perhaps in the form of an arts and humanities faculty advisory board.
2. Desire for a Humanities/Arts institute.
3. Need for better/more resources.
4. Concern for the role of graduate students in both teaching and research.
The goal of the action team in its subsequent meetings was to answer questions 1–6 with an eye to proposing solutions for these particular issues. The recommendations listed in the conclusion to this report will serve as the answer to question #7.

**Conclusion**
To meet the goals of Aspire 2020, the Arts and Humanities Action Team proposes the following recommendations:

1. The university needs a development officer whose specific charge is to raise funds for arts and humanities research. Such a person would raise funds to create and support an institute for arts and humanities, fellowship and residency programs, and a variety of other opportunities for research.
   
   a. The top priority for such a position should be the creation of an endowment that will generate funds to support both the development and production of scholarship.
   
   b. Other priorities include
      
      i. Establishing a “seed money” program that enables scholars to develop projects to a point where it will be possible to obtain external funding for them.
      
      ii. Establishing an endowment to support graduate students in the arts and humanities.
      
      iii. Raising funds to support an Institute for Research and Innovation in the Arts and Humanities, and working with the Institute to attract funds from private donors, corporations, and government agencies.

2. The VPR should appoint a task force of faculty members in the arts and humanities to develop a specific proposal for the creation of an Institute for Research and Innovation in the Arts and Humanities.

3. The Office of the VPR ought to have an administrator who specializes in support for arts and humanities research. Such a person would assist faculty members in identifying sources of funding, preparing applications, obtaining matching institutional support, etc.

4. The personnel listed above (VPR office administrator and OU development officer) should coordinate initiatives with the activities of the Institute for Research and Innovation in the Arts and Humanities.
5. The office of the VPR should organize faculty lecture series that highlight a range of areas of research focus. Further, specific departmental events, such as workshops, conferences, or lectures, should be showcased on the VPR website and in print format.

6. The VPR should regularly sponsor luncheons or other events that would bring together people from a variety of disciplines. There might even be a need for two types of gatherings: one for thinking big thoughts about the enterprise of research (e.g., “How does your research impact humanity?”), the other for those who are focused on a specific area of research, considered from an interdisciplinary perspective.

7. The VPR should make use of the OU Expertise System to bring together people whose research topics have common elements, but whose paths do not normally cross.

8. The AAU’s list of faculty arts and humanities awards, fellowships, and memberships should be a component of any competitive analysis of arts and humanities programs at OU, but should not be the sole component. A task force should be charged with proposing other meaningful ways to gauge the progress of work in the arts and humanities after the development of programs designed to promote those activities.
Appendices

1. Terms of Reference for the Action Team on Arts and Humanities
2. Models for cross-disciplinary faculty exchange (Sam Huskey)
3. Arts and Humanities Institute (Rob Griswold)
4. Faculty arts and humanities awards, fellowships, and memberships from the AAU Membership Policy. (Sam Huskey)
5. Big 12 and Big 10 Funding Mechanisms (Charlene Dell)
6. Options for Humanities monograph subvention fees assistance (Dave Hambright)
7. Special funding mechanisms for external funding (Pamela Genova)
Appendix 1

Terms of Reference for the
Action Team on Arts and Humanities

Purpose of Aspire 2020

Aspire 2020 is a bold planning initiative for scholarship on the Norman Campus including Norman Campus Programs at OU-Tulsa. It centers on the **goal of Becoming the Nation’s Foremost Public Comprehensive Research University of Our Size**, and involves three **objectives**: Transforming our Research Culture, Transforming our Research Engagement, and Transforming our Research Competitiveness. Aspire 2020 will not create a written plan, but instead will serve as both a practical framework as well as a philosophy for continuously advancing our research and creative activities. New practices and paradigms created as part of Aspire 2020 will help the University of Oklahoma achieve its full potential as one of the Nation’s research powerhouses. For more information, visit http://aspire2020.ou.edu.

Action Teams

Foundational to the success of Aspire 2020 is active engagement by faculty and administrators from **every college, department and research unit**. Action Teams, facilitated by faculty, are the mechanism for this engagement. For a period of approximately 2 months, starting April 15, the first three Action Teams will meet to address a specific topic and develop a set of prioritized actions leading to measurable outcomes in support of the three goals listed above. Participation in Action Teams is open to everyone and no registration or application is needed; simply attend the meetings. Summaries of each Action Team meeting will be placed in a web-based discussion forum on the Aspire 2020 site so faculty can post comments and suggestions and view the same from their colleagues.

Charge to the Action Team on Arts and Humanities

The Arts and Humanities Action Team will engage the important topic of ensuring that the arts and humanities are a vibrant and integral part of the Norman Campus research enterprise. This includes advancing the importance of and engagement by arts and humanities in extramural funding as a means for pursuing research and creative activity both with respect to these disciplines themselves, as well as for engaging challenges that reside at the boundary of other disciplines such as physical science and engineering. The charge encompasses identifying mechanisms by which the arts and humanities can play a leadership role in effectuating truly creative environments for the pursuit of scholarship.
Appendix 1

across the Norman Campus, not only in the context of physical facilities but also in approaches taken to address key intellectual and cultural challenges. It also includes, in light of historically intensive teaching and studio activity loads, identifying creative mechanisms by which faculty in arts and humanities can have sufficient time and resources to pursue scholarly endeavors

Action Team Leadership

The Arts and Humanities Action Team will be co-led by a committee consisting of faculty from the arts and humanities as well as other disciplines. Members include______________

Questions to be Addressed

The work of Action Teams is guided by a number of questions, and shown below are possible questions to be addressed by the Action Team on Arts and Humanities. Answers to some will influence whether others remain valid or new ones should be added at the discretion of the Team.

1. Building upon an existing strong foundation of arts and humanities at OU, what actions can be taken to assist arts and humanities faculty in obtaining additional external funding to support their scholarship? What mechanisms are used elsewhere and could they be adopted at OU?

2. What actions can be taken to assist other disciplines at OU (e.g., physical science, life science, engineering) in understanding the value of engaging with arts and humanities and to incentivize that engagement? And Vice versa? What mechanisms are used elsewhere and could they be adopted at OU?

3. How can arts and humanities help drive the establishment of truly creative, inspiring environments (physical as well as programmatic) for scholarly pursuits across all disciplines on the Norman Campus?

4. What scholarly opportunities exist, or might be created, for the arts and humanities based upon existing or emerging assets at OU?

5. What metrics should be used for competitive analyses between arts and humanities programs at OU and those at other institutions? Most of the quantitative analyses performed to date by the VPR Office have focused on physical science and engineering.

6. What special funding mechanisms (e.g., endowments) might be effective in providing support for scholarship in the arts and humanities, as an augmentation of or inducement for external funding, including support for graduate students?

7. What disincentives to research now exist within the arts and humanities and what actions can be taken to remove or mitigate their impacts?

Process and Timeline

The Action Team should meet weekly, starting the week of 19 April 2010, to ensure an ability to complete its work by 15 June 2010. Concise summaries of each meeting will be
Appendix 1

posted to the Action Team forum on the Aspire 2020 web site to ensure broad faculty participation. Support for the Action Team will be provided by the Office of the VP for Research.

Other Materials

Action Team leaders and VPR Office staff will provide on the Aspire 2020 web site additional resources relevant to the topic being studied.

Expected Outcome

The Action Team is expected to provide to the VP for Research a set of actionable recommendations including priorities, resources needed, and metrics for assessing progress.
Appendix 2

Models for Cross-disciplinary Faculty Exchange

For faculty in the sciences and engineering to understand and appreciate the work of their colleagues in the arts and humanities (and vice versa), what is needed first is a forum that would bring faculty from all disciplines together to discuss the enterprise of research itself. The Office of the VPR could make these fortuitous encounters much more likely to occur by sponsoring regular luncheons, happy hours, or some other pleasant gathering at a central location on campus, to which all OU faculty would have access. Indeed, this is in line with two of the recommendations to university presidents, provost, and deans that the Association of American Universities (AAU) made in its report, *Reinvigorating the Humanities: Enhancing Research and Education on Campus and Beyond* (Mathae and Birzer 2004, p. 40):

- “Establish centers, institutes, or discussion groups that can help faculty interact with colleagues from different departments (including non-humanities).”
- “Allocate space in such a way that departmental and/or disciplinary isolation is broken and interaction encouraged. This may include distributing office space across departmental boundaries where feasible, or encouraging regular interdepartmental events at lunches, seminars, and other gatherings.”

Other universities have undertaken this initiative with some success. For example:

- The University of Tennessee holds “Centripetal Luncheons” to encourage interdisciplinary collaborations.
- The University of Maryland hosts luncheons through the Center For Literacy, Language, and Culture.
- The VPR at Stonybrook University hosts “multidisciplinary working group” luncheon seminars.

Indeed, our intellectual ancestors at the great universities in both Europe and America frequently met for common meals, and their conversations *created* some of the disciplines that we have today.
Appendix 3

#4: What scholarly opportunities exist, or might be created, for the arts and humanities based upon existing or emerging assets at OU?

A. Vision:

Center for the Study of the American West, its Peoples, Arts, and Environment

World Cultures, Literatures, Arts, and Languages

Arts and Humanities Center

Digital Humanities

Constitutional Heritage

Science, Technology, Art, and Culture

B. Opportunities based on existing or emerging assets at OU

1. Center for the Study of the American West, its Peoples, Arts, and Environment
   a. Western History Collections
   b. Charles Russell Center
   c. Fred Jones, Jr. Museum of Art
      i. Adkins Collection
      ii. Fleischaker Collection
      iii. Thams Collection d
   d. Carl Albert Congressional Research and Studies Center
   e. Samuel Noble Museum of Natural History
   f. University of Oklahoma Press
   g. Departments/Colleges with Strong or Some Dedication to the West
      i. Anthropology
      ii. Archeological Survey
      iii. English
      iv. History
      v. Native American Studies
      vi. Native American Art History/ Art of the American West
      vii. Linguistics
      viii. Music/ ethnomusicology
      ix. Law School/ Native American Law/ Petroleum Law
      x. Geology
      xi. Honors College/ American Studies
2. The Institute for the American Constitutional Heritage

Dedicated to the study of the American Constitution, this new center has an affiliated faculty drawn from a wide variety of disciplines including Business, Classics and Letters, History, Law, Modern Languages, and Political Science. President Boren has a strong commitment to this initiative, including dedicating resources to the hiring of new faculty members whose research and teaching centers on constitutional issues. The first person hired expressly for the Institute will be joining the faculty this fall. Under the direction of Kyle Harper, the Institute is putting together both a major and a minor in constitutional studies and intends to host symposia and lectures in coming years. This initiative is just beginning, but I know for a fact that the President is deeply committed to it and will help put needed resources into this effort.

3. World Cultures, Literatures, Arts, and Languages

This focal point might well be built around *World Literature Today*. Starting as *Books Abroad* in 1927, WLT has grown into an important journal that brings world literature to a wide audience. As Joyce Carol Oates has written of WLT, “No other journal begins to do what WLT does routinely….Extraordinary.” In addition to sponsoring the Neustadt Prize, WLT also hosts the Puterbaugh Festival which brings “the world’s greatest authors—often a winner or a soon-to-be winner of the Nobel Prize—to the OU campus for a course built around the author’s work, an international symposium, public talks and performances, and engagement with students, many of whom receive fellowships to study the Puterbaugh Fellow’s work.” In addition to WLT, there are scholars and artists from a wide variety of disciplines whose work addresses “world cultures, literatures, arts, and languages”—to wit:

a. English
b. Modern Languages
c. Film and Video Studies
d. History
e. Anthropology
f. Music/ ethnomusicology
g. Art/ Art History
h. African-American Studies
4. Digital Humanities

Katherine Pandora in the History of Sciences has suggested that a key part of an OU Institute for Research and Innovation in the Arts and Humanities should be a focus on the Digital Humanities. As one kind of model, she suggests the University of Virginia’s Institute for Advanced Technology in the Humanities. As she describes it, this center was established in 1992 to help researchers in the arts and humanities apply sophisticated technical support and advanced computer technology to their scholarship. Drawing upon skilled staff in design, computer science, and data analysis, the IATH is a one-stop source for assistance in both design and technical issues. In addition, the institute helps faculty and students prepare grant proposals from a variety of funding agencies—NEH, NEA, NSF, the Department of Education, private foundations, etc.—and provides some internal funding as well. It takes little imagination to see how the work of many scholars affiliated with the Humanities Center could intersect with the work of scholars in the digital humanities and there are strong possibilities for outside support.

5. Science, Technology, Art, and Culture

OU has scholars and artists in many different disciplines whose research focus involves work included in this rubric. From among the multiple examples, the OU History of Science manuscript collection is a significant element to be noted. The History of Science department itself houses ten historians of science, technology and medicine, with two more to be counted in the Collections, and two additional affiliated faculty members in the Honors College, which makes the OU program one of the largest in the country. Beyond this specific academic unit, the study of science, technology and medicine from a variety of perspectives at OU is active and includes faculty from most of the humanities, science, and social sciences departments in the College of Arts and Sciences, as well as faculty in programs in engineering, earth and energy, the natural history museum, and other entities on campus.
Appendix 3

over 60 affiliated faculty members. As I understand the current situation, those scholars interested in gender issues are working within Action Team 2 and are proposing "Gender, Justice, and Education" as a concrete research theme. Many of the concerns and methods of inquiry would overlap with a Humanities Center, while some would fall more directly in the social sciences.
## Appendix 4

### Big 12 and Big 10 Funding Mechanisms

<table>
<thead>
<tr>
<th>University Name</th>
<th>Arts/humanities Funding</th>
<th>Used for:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Big 12 Universities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Baylor University</td>
<td>Baylor Arts and Humanities Grants - an internal grants program</td>
<td>Individual faculty projects in College of arts and sciences and School of music.</td>
</tr>
<tr>
<td></td>
<td>PI Investment Program</td>
<td>Internal monies that assist in making external applications stronger</td>
</tr>
<tr>
<td></td>
<td>Conference Support Grants</td>
<td>Support for bringing conferences on Campus</td>
</tr>
<tr>
<td></td>
<td>Internet 2 Grants</td>
<td>Support for the use of Internet 2 hardware to carry on research Projects.</td>
</tr>
<tr>
<td>University of Colorado at Boulder</td>
<td>12-14 Year long Faculty Fellowships</td>
<td>Research leaves</td>
</tr>
<tr>
<td></td>
<td>Distinguished researcher lecture</td>
<td>Pays chosen faculty member 1500 for lecture.</td>
</tr>
<tr>
<td></td>
<td>Course Releases</td>
<td>So that chosen faculty can take a larger role in symposia</td>
</tr>
<tr>
<td></td>
<td>Fund visiting artists and scholars</td>
<td>Provides office/studio space and a $33,000 Stipend</td>
</tr>
<tr>
<td>Iowa State</td>
<td>$5000 Grants for Assistant and Assoc Professors</td>
<td>Provides summer salary, teaching releases, or expenses such as equipment, hourly assistance, and travel.</td>
</tr>
</tbody>
</table>

Baylor University has a wonderful website that puts all applications in one place for both external and internal funding. [http://www.baylor.edu/research/vpr/index.php?id=17291](http://www.baylor.edu/research/vpr/index.php?id=17291)

University of Colorado at Boulder employs 2 agencies to assist professors in finding release time – The council for research and creative work (CRCW) and the Center for Humanities and the arts. (CHA) [http://www.colorado.edu/ArtsSciences/CHA/](http://www.colorado.edu/ArtsSciences/CHA/)

The Iowa State University Center for Excellence in the Arts and Humanities (CEAH) with its own Grants officer [http://www.public.iastate.edu/~ceah/funding.htm](http://www.public.iastate.edu/~ceah/funding.htm)
### Appendix 4

<table>
<thead>
<tr>
<th>Officer Website (<a href="http://www.public.iastate.edu/~ceah/funding.htm">http://www.public.iastate.edu/~ceah/funding.htm</a>) has all forms, as well as resources for proposal/grant writing.</th>
<th><strong>Seed Grants</strong> for collaborative works.</th>
<th>$20,000 to $30,000 for collaborative, interdisciplinary research/artistic production to help projects compete nationally for significant recognition and/or sponsored funding. Supported projects bring together teams of two or more faculty researchers.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Also members of Community of Science (Community of Science (COS)) and the Consortium of Humanities Centers and Institutes (CHCI), showing multiple funding opportunities and calls for papers in one place. Also holds a listserv.</td>
<td><strong>Small Grant Support for Senior Faculty</strong></td>
<td>Grants ranging from $500-$1,000 to Senior Faculty to supplement research and creative activity in the arts and humanities. Funds may be used for expenses such as travel to libraries or other research sites, small equipment purchases, short-term research assistance or other services.</td>
</tr>
<tr>
<td><strong>Kansas State University</strong></td>
<td>General research funding information can be found at: <a href="http://www.k-state.edu/research/funding/index.htm">http://www.k-state.edu/research/funding/index.htm</a></td>
<td>Very Little information available. No Arts and Humanities center or webpage. No information on funding for the arts or humanities.</td>
</tr>
<tr>
<td><strong>Kansas University Hall Center for the Humanities</strong> – Has its own Humanities Development Office Shows multiple funding opportunities</td>
<td>NEH challenge Grant with private monies</td>
<td>Used to build an Humanities center</td>
</tr>
<tr>
<td><strong>Website:</strong> <a href="http://www.hallcenter.ku.edu/~hallcenter/grants/development/links.shtml">www.hallcenter.ku.edu/~hallcenter/grants/development/links.shtml</a></td>
<td><strong>Simons Fellowship</strong>—$20,000.</td>
<td>Used to bring in faculty from off campus to participate in all Hall activities for a month to a semester.</td>
</tr>
<tr>
<td></td>
<td><strong>KU Newberry Grants</strong></td>
<td>/funding for faculty to travel to do renaissance studies.</td>
</tr>
<tr>
<td></td>
<td><strong>Additional Funding to support the Hall Center</strong></td>
<td>Funds HCH Activities: -Colloquium (Faculty $1,000, Grad</td>
</tr>
</tbody>
</table>
### Additional Funding to support the Hall Center Activities

Funds HCH Activities:
- Colloquium (Faculty $1,000, Grad Student $500 to present papers
- Summer Research Awards = $4000/per Grad student award
- Collaborative Research Group Grant – up to $5000 for a single project by 2 or more faculty
- Faculty International Travel Grant
- Vice Provost for Research Book Publication award
- Graduate Fellowships in the Humanities
- Creative work fellowship - Provides release time for major works in arts, music, or writing

| University of Missouri – MU Center for Arts and Humanities (CAH) is actually under the office of research at MU |
| Has own grant writer. |
| Website: [http://cah.missouri.edu/index.shtml](http://cah.missouri.edu/index.shtml) |
| Have standing Interdisciplinary Collaborative working groups |

### Small Grants Awards

-Supports interdisciplinary and collaborative faculty research

- Supports travel to deliver presentations. – Intended for new faculty.

| CAH Faculty awards |
| $500 to support research and publications subventions. |
| CAH Grant writing Fellowships |
| Provides release time for grant writing – to hire substitute instructors to cover 2 courses/semester. Looking especially for |
## University of Nebraska
**Houses the Center for digital research in the Humanities (cdrh)** - advancing collaborative, interdisciplinary research by creating unique digital content, developing text analysis and visualization tools, and encouraging the use (and refinement) of international standards.

Center has grant writer and other assistance with project development.

<table>
<thead>
<tr>
<th>Research Faculty Fellowships</th>
<th>Provides $20,000 stipend, computer time at the center, and 10 hrs of GRA time towards their project.</th>
</tr>
</thead>
</table>

| Postdoctoral Fellowships in conjunction with the Council on Library and information Resources. |

| Graduate assistantships | Provides multiple year and semester long ga and Internships. |

## Oklahoma State University
**Houses the Doel Reed Center for the Arts – in Taos, NM.** Brand new- began in March 2010

Website: [http://drca.okstate.edu/](http://drca.okstate.edu/)

So new- not quite off the ground yet- Prior to its being designated a center, “Students from many different disciplines including: art, art history, graphic design, architecture, landscape architecture, English, history, political science, Spanish, journalism, museum studies, music, interior design, fashion design, education, public relations, and management” have visited as part of an internship program. “...Once established, the DRCA national/international artists and scholars residency center will be of great benefit to all Oklahomans since it will require participants to bring their Taos-inspired scholarship, creative works, and research back to Oklahoma through lectures, presentations, exhibitions, and performances. “ (Taken from DRCA website [http://drca.okstate.edu/index.php?option=com_content&view=article&id=14&Itemid=28](http://drca.okstate.edu/index.php?option=com_content&view=article&id=14&Itemid=28), June 2, 2010)

## Texas A&M University
**Houses the Glasscock Center for Humanities Research,** and the [Program for Scholarly and Creative Activities](http://glasscock.tamu.edu) and [http://researchpolicy.tamu.edu/internal-grants](http://researchpolicy.tamu.edu/internal-grants)

<table>
<thead>
<tr>
<th>Proposals for Scholarly and Creative Activities</th>
<th>Supports significant research projects, scholarly publications and artistic presentations. These awards are typically made in the arts, humanities, social sciences or related fields for which</th>
</tr>
</thead>
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<tbody>
<tr>
<td>Texas A&amp;M University</td>
<td>Texas Tech University</td>
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<tr>
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<td>-----------------------</td>
</tr>
<tr>
<td>Houses the Glasscock Center for Humanities Research, and the Program for Scholarly and Creative Activities <a href="http://glasscock.tamu.edu">http://glasscock.tamu.edu</a> and <a href="http://researchpolicy.tamu.edu/internal-grants-programs/program-to-enhance-scholarly-and-creative-activities.html">http://researchpolicy.tamu.edu/internal-grants-programs/program-to-enhance-scholarly-and-creative-activities.html</a></td>
<td>No center for arts or humanities. There is funding for faculty of the College of visual and Performing Arts. Help is given on website for Arts and Humanities Grants at <a href="http://www.depts.ttu.edu/cvpa/facultystaff/FacultyAwardsFunding.asp#GrantsApplication">http://www.depts.ttu.edu/cvpa/facultystaff/FacultyAwardsFunding.asp#GrantsApplication</a>.</td>
</tr>
<tr>
<td><strong>Proposals for Scholarly and Creative Activities</strong></td>
<td><strong>Faculty Awards</strong></td>
</tr>
<tr>
<td>Supports significant research projects, scholarly publications and artistic presentations. These awards are typically made in the arts, humanities, social sciences or related fields for which external support is limited.</td>
<td>Awards 15% of external funding for reimbursement of research</td>
</tr>
<tr>
<td><strong>Glasscock Center for Humanities Research</strong></td>
<td><strong>Fine arts awards for excellence in creative/research</strong></td>
</tr>
<tr>
<td>Supports bringing in guest scholars to present a lecture series and symposia around a theme, they also aware an annual book prize for interdisciplinary scholarship.</td>
<td>No specifics given</td>
</tr>
<tr>
<td><strong>Internal Faculty Fellowships</strong></td>
<td><strong>International Travel</strong></td>
</tr>
<tr>
<td>4 awards/ year, providing 1 course teaching release, $1,000, and space at the Glasscock Center.</td>
<td>No specifics given</td>
</tr>
<tr>
<td><strong>Stipendiary Fellows:</strong> Chosen by department- they receive a $1500 research stipend, and present papers at its colloquium.</td>
<td><strong>Travel Grants</strong> (for archives or field work): $1000/semester for travel for humanities-related projects. Tenure track only.</td>
</tr>
<tr>
<td><strong>Ad Hoc Stipendiary Faculty Fellows:</strong> awards $1000 to support humanities research projects by lecturers and visiting faculty.</td>
<td><strong>Digital Humanities Project Fellowships</strong> provides up to $10,000 to a digital humanities project – preferably for untenured or newly tenured faculty.</td>
</tr>
</tbody>
</table>
Appendix 4

<p>| University of Texas at Austin | Fellowships | University of Texas at Austin Houses the Harry Ransom Center at <a href="http://www.hrc.utexas.edu/">http://www.hrc.utexas.edu/</a> It is more of a museum, as they are focused on acquiring, preserving, and making collections accessible. | Fellowships – awards 50 fellowships in all areas of humanities. Applicants must demonstrate the necessity of use of the center's collections. Stipends range from 1-3 months, at $3000/month. $1200-1700 travel stipends and $1500 Dissertation stipends are also available, and are funded by multiple private and public foundations. Annual donors are acknowledged at <a href="http://www.hrc.utexas.edu/research/fellowships/donors/">http://www.hrc.utexas.edu/research/fellowships/donors/</a> |
| BIG 10 | | |
| University Illinois at Urbana-Champaign | Funds HASTAC – Humanities arts, science, and technologies advanced collaboratory | Funds HASTAC – a virtual conference examining research in a virtual society. Also funds fellowships in post doctoral fellowships |
| Houses the Institute for Computing in Humanities, Arts, and Social Science (ICHASS), digitizing audio, video, and text for research purposes. Also house the Illinois Program for Research in the humanities. (IPRH) <a href="http://www.iprh.illinois.edu/">http://www.iprh.illinois.edu/</a> | | |
| IPRH Faculty Fellowship Awards | Provides one semester of release time for fellows to develop their research projects, teach 1 course that is related to the fellowship project, and participate in the center’s semester’s programming (lectures) Especially interested in interdisciplinary work across multiple disciplines. |
| IPRH Graduate Student Fellows | Provides $7000 stipend and tuition waver for students to work on dissertation or other research projects. |
| IPRH funds Programs and Projects across a wide range of subjects, including an annual theme, the arts, | Finances and hosts lectures, panel discussions and symposia on many different topics. In addition to its own programming, the IPRH shares its |</p>
<table>
<thead>
<tr>
<th><strong>Indiana University</strong></th>
<th><strong>University of Iowa</strong></th>
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<tbody>
<tr>
<td>8 campuses – each of which has its own cultural offerings. Several have community centers, but there seems to be only one focused on the humanities and culture. <a href="http://www.iun.edu/~cre/cdl/">http://www.iun.edu/~cre/cdl/</a> - the center for cultural discovery and learning.</td>
<td>Their research website provides links to external and internal funding/grants including NSF and NEH proposals and deadlines at <a href="http://research.uiowa.edu/grantbulletin/artshumanities">http://research.uiowa.edu/grantbulletin/artshumanities</a>. Also members of Community of Science (<a href="http://www.iun.edu/~cre/cdl/">Community of Science (COS)</a>) showing multiple funding opportunities and calls for papers in one place.</td>
</tr>
<tr>
<td>Supports research and creative projects in Northwest Indiana in Arts and artifacts exhibits, education and exchange programs, Humanities and cultural studies, Public works commissions, research and consulting, and theatrical and performing art.</td>
<td>Stipended Supplement Support for External research fellowships</td>
</tr>
<tr>
<td>In the past, they have funded $20,000 for faculty fellowships to support research and creative projects. No current information is available.</td>
<td>College partners with OVPR to support the salary and benefits for those that receive prestigious external funding</td>
</tr>
<tr>
<td>Bond Fund for Interdisciplinary Interaction</td>
<td>Supports interaction among faculty and students across departments to support interdisciplinary events and bring in scholars from other institutions. Awards range from $200-$5000.</td>
</tr>
<tr>
<td>Newberry Library Center For Renaissance Studies award</td>
<td>Supports research that includes the Newberry Center or Folger institute and their libraries, ranging from $100-2,000.</td>
</tr>
<tr>
<td>Excellence &amp; Innovation Funds</td>
<td>Supports interdisciplinary and disciplinary conferences to be held on campus, or opportunities for graduate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Resources and Facilities</strong></th>
<th><strong>Climate, Education, Film, Humanities, the Odyssey, and Reading</strong></th>
</tr>
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<tbody>
<tr>
<td>with other university programs and coordinates its activities with other units wherever possible.</td>
<td></td>
</tr>
</tbody>
</table>

**Excellence & Innovation F**unds

Supports interdisciplinary and disciplinary conferences to be held on campus, or opportunities for graduate
<table>
<thead>
<tr>
<th>Program</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Career Development Awards</td>
<td>Releases faculty members from classroom teaching, undergraduate advising, and administrative/service responsibilities for one semester at full salary.</td>
</tr>
<tr>
<td>Global Scholar Awards</td>
<td>Supports faculty so that they may conduct research on international topics from 1 semester to 2 years. Those receiving this award are released from half their teaching/service load for 2 academic years, part of which will be spent abroad.</td>
</tr>
<tr>
<td>Faculty Scholar Awards</td>
<td>Provides release from half of the researchers teaching/service obligations for 3 years (usually one semester off, one semester on for 3 years.)</td>
</tr>
<tr>
<td>Faculty Fellowships</td>
<td>Each Fellowship provides a $15000 stipend that can be used for a teaching assistant, materials/supplies/ equipment, or a graduate research assistant.</td>
</tr>
</tbody>
</table>

**University of Michigan**  
Houses the Institute for the Humanities  
[http://wwwlsa.umich.edu/humin/development/ vision](http://www.lsa.umich.edu/humin/development/vision)

<table>
<thead>
<tr>
<th>Program</th>
<th>Description</th>
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<tbody>
<tr>
<td>Faculty Fellowships</td>
<td>Provides release time from teaching and service duties while receiving their current salary and benefits. Fellows take up residence for a full year, participate in the weekly fellows seminar, and fulfill a service component to undergrads.</td>
</tr>
<tr>
<td>Graduate student Fellowships</td>
<td>Provided with a $27,000 stipend, health care, and a $600 research fund. Graduate fellows reside a the he institute, and</td>
</tr>
<tr>
<td>Michigan State University</td>
<td>Travel funding</td>
</tr>
<tr>
<td>---------------------------</td>
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</tr>
<tr>
<td>Houses the Center for Integrative Studies in the Arts and Humanities (CISAH). Website: <a href="http://cisah.msu.edu/">http://cisah.msu.edu/</a></td>
<td>Provides a limited amount of money for assistance with travel to either collect data or present findings for those faculty members teaching courses in the Integrative Arts/Humanities course list.</td>
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</table>
Imagine fund - an arts and humanities endowment which provides research awards, visiting professorships, and special events funds.

<table>
<thead>
<tr>
<th>Northwestern University</th>
<th>Funding Available to Assistant, Associate, and Full Professors</th>
<th>Grant-in aid: $2,250 for international travel, $1,500 for presentation of work in exhibition, performance, or manuscripts. Research Enhancement Grant: $5000 for extended travel, graduate assistantships, or other educational opportunities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Houses the Alice Kaplan Institute for the Humanities Website <a href="http://grants.cla.umn.edu/services/">http://grants.cla.umn.edu/services/</a></td>
<td>Faculty Fellowships</td>
<td>Provides 1 full year of leave or a 2-course reduction in teaching load. Fellows work on their projects, conduct colloquium to present their research, take part in institute events, and design an institute class that reflects their research.</td>
</tr>
<tr>
<td>Graduate Affiliates</td>
<td>Professional Development funds – modest funds for travel to professional conferences to present papers within the US. Publications Subventions used to help assistant and Assoc professors subsidies the publication of their books. External Fellowships subsidies - provides additional monies to enhance an already externally funded project.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>The Ohio State University</th>
<th>Funding Available to Associate and Full Professors</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Though with out a specific Arts and Humanities Center, there is a supportive website: [<a href="http://artsandhumanities.osu.edu/resources/Faculty">http://artsandhumanities.osu.edu/resources/Faculty</a> Documents/](<a href="http://artsandhumanities.osu.edu/resources/Faculty">http://artsandhumanities.osu.edu/resources/Faculty</a> Documents/)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Penn State University</strong> Houses the <strong>Institute for the Arts and Humanities Website:</strong> <a href="http://iah.psu.edu/grants/index.shtml">http://iah.psu.edu/grants/index.shtml</a></td>
<td><strong>External Fellowship Subsidies</strong> - provides additional monies to enhance an already externally funded project.</td>
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</tr>
<tr>
<td><strong>Funding for Assistant Only</strong></td>
<td><strong>Course reduction</strong> for each of the first 4 semesters working with the Arts and Humanities Center.</td>
<td></td>
</tr>
<tr>
<td><strong>Individual Faculty Grants</strong></td>
<td>Support research and creative projects of faculty across the arts and humanities to provide materials, travel funding, costs for publication, wages for research assistance, and/teacher release time.</td>
<td></td>
</tr>
<tr>
<td><strong>Resident Scholars and Artists</strong></td>
<td>Support up to 9 faculty members/year with 1 semester of release time from teaching, and $1000 Mini-grant for research expenses.</td>
<td></td>
</tr>
<tr>
<td><strong>Interdisciplinary Group Funding</strong></td>
<td>Supports expenses related to group program to cover costs of travel, lodging, and honoraria for invited speakers, performers, or artists, or research assistance related to symposia or lecture series.</td>
<td></td>
</tr>
<tr>
<td><strong>Collaborative Teaching</strong></td>
<td>Supported by NEH challenge grant - used to build bridges between courses and the classroom. Funding can cover expenses directly related to faculty team teaching, included multi-media resources; guest speakers, or learning related projects, or to buy out one faculty member to facilitate team teaching.</td>
<td></td>
</tr>
<tr>
<td><strong>Graduate Student Summer Residencies</strong></td>
<td>Provides a $3,000 stipend and office use for up to 8 advanced graduate students preparing to finish their terminal degrees.</td>
<td></td>
</tr>
</tbody>
</table>
### Graduate Student Summer Residencies
Provides a $3,000 stipend and office use for up to 8 advanced graduate students preparing to finish their terminal degrees.

### Dissertation Fellowships
Supports graduate students whose dissertations are directly related to the humanities or the arts that choose to be affiliated with the Institute for Arts and Humanities. Students also receive a $500 research grant.

<table>
<thead>
<tr>
<th>Purdue University</th>
<th>Fellowships for faculty development in the arts – 2 Awarded/year.</th>
<th>Supports creative projects judged for their artistic merit and contributions to the field.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Fellowships for Faculty Development in the Behavioral and Social Sciences 2 awarded.</td>
<td>Supports scholarly endeavors integrating existing literature and experimentation or defining new problems and areas of research.</td>
</tr>
<tr>
<td></td>
<td>Fellowships for Faculty Development in Humanistic Studies – 2 awarded/year.</td>
<td>Supports Scholarly endeavors of a humanistic nature that increases understanding of ideas, values, and experiences while making original contribution to humanistic knowledge.</td>
</tr>
<tr>
<td></td>
<td>Fellowships for Faculty Development in Instructional Excellence – 2 Awarded/year.</td>
<td>Supports research and implementation of innovated pedagogical and curricular projects</td>
</tr>
</tbody>
</table>

*All fellows are released from all other responsibilities in order to freely pursue their project for 1 semester, receiving full salary. The following semester they are required to present their project to the public at large.*

**Office of the Provost**
Office of the Provost provides $3500 for faculty to extend their knowledge in a complementary secondary area of study. The Home department of the fellow receives $7000 to cover lost instruction.
Appendix 4

| **University of Wisconsin**  
| Houses the **Center for the Humanities**.  
|  
| **International Travel Grants**  
| Provides up to $1000 for those that are presenting or serving as officials at international conferences.  
|  
| **Humanities without boarders**: a public lecture series that brings in scholars that crosses disciplinary boundaries.  
|  
| **Focus on the Humanities**: Distinguished Faculty Lecture Series – allows Faculty to present their work.  
|  
| **Friday Lunches**: Humanities Friday Lunch and Lecture Program: offers the humanities faculty a chance to present their research to other UW faculty at a free buffet lunch  
|  
| **Support multiple events that foster engagement and interdisciplinary study and teaching**  
|  
| The center " presents or sponsors a diverse range of lectures, panels, discussions, and workshops for both public and campus audiences. The Center’s mission includes engaging faculty, staff, students, and the public in the best of current work in the humanities; fostering interdisciplinary study and teaching; promoting the humanities; and connecting the humanities with the community through events, outreach and partnerships", from the website: [http://www.humanities.wisc.edu/](http://www.humanities.wisc.edu/)  
|
AAU Membership Policy

The Association of American Universities is an association of universities distinguished by the breadth and quality of their programs of research and graduate education. Membership in the association is by invitation. The association maintains a standing Membership Committee, which periodically evaluates non-member universities for invitation to membership, and evaluates current members to assure that their institutional missions, and the fulfillment of those missions, remain consonant with the character and purpose of the association.

In its evaluation of institutions, the Membership Committee is guided by a set of Membership Principles and Membership Indicators, presented below. The Membership Principles specify the primary purpose of the association and the corresponding characteristics of its member institutions. The Membership Indicators are a two-phase set of quantitative measures used to assess the breadth and quality of university programs of research and graduate education.

In assessing potential new member universities, the evaluation of university profiles based on the Membership Indicators is the first stage of a two-stage process used to identify institutions that may be invited into membership. The second stage involves a more qualitative set of judgments about an institution’s mission, characteristics, and trajectory.

Institutions that are nominated for invitation to membership must be approved by a three-fourths vote of member universities.
**AAU Membership Principles**

1) The primary purpose of AAU should continue to be to provide a forum for the development and implementation of institutional and national policies promoting strong programs of academic research and scholarship and undergraduate, graduate, and professional education.

2) The members of AAU should be universities distinguished by the breadth and quality of their programs of graduate education and research.

3) The members of AAU shall approve appropriate criteria for assessing the breadth and quality of these programs, and shall apply these criteria in making judgments about potential new members of the Association.

4) All members shall be monitored to make sure that their institutional missions, and the fulfillment of those missions, continue to be consonant with the character and purpose of the AAU.

5) There is a presumption that membership in the AAU is continuing. However, in those instances in which there appears to be a significant and sustained disparity between the mission and accomplishments of a member institution and the mission and membership criteria of the AAU, an in-depth review of that institution will be triggered. Discontinuation of membership will be one possible outcome of this in-depth review.

Adopted January 12, 1999
AAU Membership Indicators

The AAU presidents and chancellors have adopted the following set of membership indicators to use in assessments of current and potential new members. All indicators will be tabulated as both total values and normalized, per-faculty measures where feasible. In assessing non-U.S. institutions, comparable indicators appropriate to those institutions will be used.

These indicators are divided into Phase I indicators, which will be used as the primary indicators of institutional breadth and quality in research and education, and Phase II indicators, which will be used to provide additional important calibrations of institutional research and education programs.

Both the Phase I and Phase II indicators constitute the first stage of membership assessment. The second stage involves a more qualitative set of judgements about institutions and their trajectories.

Phase I Indicators

1) *Competitively funded federal research support*: These data are collected by the National Science Foundation. The Membership Committee has been using obligations, which are the only measures that break down federal support by agency. The committee has recently switched to using NSF research expenditure data, which are more accurate, with a correction factor to subtract the estimated proportion of university expenditures drawn from USDA. Most USDA funding is not allocated competitively, and USDA support accordingly is included as a Phase II indicator.

2) *Membership in the National Academies (NAS, NAE, IOM)*: The National Academies’ membership database maintains the current institutional affiliation of its members.

3) *National Research Council faculty quality ratings*: These ratings are drawn from the decennial national assessment of research-doctorate programs conducted by the NRC. Though the data become dated between surveys, the committee believes that they continue to provide a valuable peer-assessment of faculty quality. The last NRC report was published in 1995 based on 1993 data; preparation for the next NRC assessment is currently underway.

4) *Faculty arts and humanities awards, fellowships, and memberships*: For its last research doctorate assessment, NRC compiled a list of awards, fellowships, and memberships signifying faculty achievement primarily in arts and humanities fields. The Membership Committee has expanded this list and will use it as an additional assessment of the distinction of an institution’s faculty, focusing on the arts and humanities faculty (Attachment 1). Additional appropriate awards, fellowships, and memberships will be added to this list as they are identified.

5) *Citations*: The *U.S. University Science Indicators* citations database provides an annually updated measure of both research volume and quality and will provide a valuable complement to the first four indicators listed above.
**Phase II Indicators**

1) **USDA, state, and industrial research funding:** Though these three sources of academic research support fund important, high-quality research, they will be treated as phase II indicators since they are generally not allocated through competitive, merit-review processes. Competitively funded USDA research programs that can be separately identified in reported data will be included in phase I data.

2) **Doctoral education:** The committee will use number of Ph.D.s granted annually as well as tabulate the distribution of Ph.D.s across broad disciplinary categories (e.g., engineering but not aerospace engineering), using Department of Education IPEDS (Integrated Postsecondary Education Data System) data. These data will be treated as phase II indicators to de-emphasize the quantitative dimensions of Ph.D. programs and avoid sending an unintended signal to institutions to increase Ph.D. output at a time when many institutions are or are considering scaling back their Ph.D. programs.

3) **Number of postdoctoral appointees:** The committee will use NSF-compiled data from institutions on postdoctoral appointees, most of whom are in the health sciences, physical sciences, and engineering. Postdoctoral education is an increasingly important component of university research and education activities that the committee believes should be tracked in AAU membership indicators. However, because postdoctoral activity is highly correlated with university research and because self-reported postdoctoral data are less uniform than data on federally funded research, postdoctoral appointees will be treated as a phase II indicator.

4) **Undergraduate education:** The committee will assess the institution’s undergraduate programs to determine that the institution is meeting its commitment to undergraduate education. Recognizing that differing institutional missions among research universities dictate different ways of providing undergraduate education, the committee will be flexible in this assessment. A number of measures have been suggested, including some that focus on input and others that look primarily at output variables. These are at this time imperfect, but may provide some guidance to the committee in making its judgments on this topic.

Attachment 2 shows the source of the indicator data.

Adopted July 18, 2000
Faculty Awards and Fellowships

1. Alexander von Humbolt Fellowships
2. American Academy in Rome
3. American Academy of Arts and Sciences
4. American Antiquarian Society Fellowships
5. American Council of Learned Societies Fellowships
6. American Philosophical Society
7. American School of Classical Studies in Athens Fellowships
8. Field Medal
9. Folger Library Postdoctoral Fellowships
10. Ford Foundation Fellowships
11. Fulbright Awards
12. Huntington Library Research Fellowships
13. John Simon Guggenheim Memorial Fellowships
14. MacArthur Awards
15. National Academy of Education
16. National Endowment for the Humanities Fellowships
17. Newberry Library Fellowships
18. Nobel Prize
19. Packard Fellowships
20. Residency at the Center for Advanced Study in the Visual Arts
21. Residency at the Getty Center for Arts and Humanities
22. Residency at the Institute for Advanced Study
23. Residency at the National Humanities Center
24. Residency at the Woodrow Wilson Center for Scholars
25. Rockefeller Fellowships
26. Searle Scholars
27. Sloan Fellowships
AAU MEMBERSHIP INDICATORS: Data Sources

Phase I Indicators

Competitively funded federal research support: federal R&D expenditures

Survey of Scientific and Engineering Expenditures at Universities and Colleges, conducted by the NSF Division of Science Resources Studies; AAU data from FY 1996-1998. (Data gathered via WebCASPAR; see Attachment 1 for instructions for accessing indicator data through WebCASPAR). The expenditure totals use a correction factor to subtract the estimated portion of USDA expenditures (agency-specific expenditures are not separately identified in NSF surveys) according to the following formula: federal expenditures – [federal expenditures x (USDA obligations/total federal obligations)].

Memberships in the National Academies (NAS, NAE, IOM)

Compiled from the membership lists of each academy; lists of NAE and IOM can be found at:
http://www.nae.edu/nae/naepub.nsf/Home+Page?OpenView
http://www.iom.edu/directory.asp

AAU data current as of July 15, 2000, for NAS; July 25, 2000, for NAE; and October, 2000, for IOM.

National Research Council faculty quality ratings


Faculty arts and humanities awards, fellowships, and memberships

AAU data are number of faculty members by institution receiving awards, fellowships, and memberships primarily in the arts and humanities (see Attachment 1, above).

Citations: The U.S. University Science Indicators
AAU indicators used 1995-1999 publication and citation data compiled by the Institute for Scientific Information; the data were drawn from an ISI CD-ROM, *University Science Indicators, 1981-1999, Deluxe Version*, which provides data for faculty at 120 universities.
**Phase II Indicators**

**USDA, state, and industrial research funding**


**Doctoral Education**


**Number of Postdoctoral Appointees**


**Faculty Counts for Normalization**

The faculty counts for normalization are drawn from two sources:


2) For institutions with medical schools, the medical school basic science faculty, as compiled by the Association of American Medical Colleges, are added to the IPEDS total.

January 18, 2002
Appendix 6

Humanities researchers face serious impediments to research productivity. Faculty in the Humanities depend on a variety of kinds of institutional support: book/monograph subventions, travel stipends, matching of prestigious fellowships, summer stipends, and beyond. As a specific example, I explored institutional policies regarding book/monograph subventions throughout our peer universities. Though field specific, many of the leading publishers across the Humanities are university presses which usually require subventions for research monographs. The average subvention fees at university presses are approximately $5,000, though the range of fees is quite large. For example, the University of Toronto Press, perhaps the leading press in Medieval Studies, requires $9,000 to publish the average research monograph.

The University of Oklahoma Research Council received several subvention requests from faculty members during FY 2010, and while many of these requests were partially awarded, it became clear that such requests were opening new territory that the Council had not previously explored. Ensuing discussions within the Council highlighted major differences between the Sciences and the Humanities with respect to what research entails. For example, the Sciences may be supported at the scale of several hundred thousand dollars annually (typically from external sources) per research program of a given faculty member and employ considerable graduate student effort, while the average Humanities researcher is faced with meager travel costs annually, plus monograph publication costs every couple of years—both costs are typically covered through internal funding sources.

The Research Council, understanding the nature of research in the Humanities, has granted numerous research travel requests, but has been divided with respect to whether subventions should be considered within the realm of research. The informal survey I undertook is not meant to explore or highlight the philosophical and practical differences in research between the Humanities and Sciences. Rather, my goal, based on the assumption that subventions must be considered a legitimate fundable aspect of research, was to explore possible solutions for how our university might implement a consistent system with the aim of covering subvention fees for book and other publications relating to faculty research at the University of Oklahoma, particularly in the Humanities.

Over the past two weeks, I’ve queried English and History Chairs of the Big 12 schools and English Chairs of the Big 10 schools regarding mechanisms at their universities for handling monograph subventions. English and History departments were targeted because they are the most consistent department identities across institutions (other departments within the Humanities are often divided differently across schools). To date, I’ve received twelve replies from 6 Big 12 and 4 Big 10 schools.

The majority of replies suggest that subventions are handled at most of these schools in a manner similar to the system currently in place at OU – that is, case-by-case and piecemeal with departments, colleges and the VPR’s offices covering up to ~$5K per monograph. Several schools have dedicated programs designed especially for Humanities Research support, including monograph subventions. Below is a brief overview of the survey results.
Schools with no dedicated funding

Texas Tech University: case-by-case funds available through the college and provost levels

University of Missouri: no special system or dedicated funds in place; Research Council and Research Board both provide grants up to $3,000 that can be used for subventions

Texas A&M University: case-by-case awards from Dean of Liberal Arts; up to $1,500 subvention assistance

University of Iowa: case-by-case assistance available jointly through department ($500- $1,000) and VPR ($2,000 - $3,000)

Ohio State University: case-by-case assistance available jointly through department and college

Michigan State University: no funds available through departments; limited assistance available through the College of Arts and Letters (but only $25,000 available for entire college).

Schools with dedicated funding in place

University of Colorado: College of Arts and Sciences (administered by Associate Dean for Arts and Humanities) offers competitive grants of up to $3,000 annually per faculty member (Kayden Research Grants); these are used for subvention assistance in many cases. Additionally, several Kayden Book Awards are given each year - $1,000 to author and $4,000 to department. Author can use funds to cover subvention or any other purpose; department uses funds to host open symposium focused on book in which external experts are invited to campus to critique book; author replies.

University of Texas: Departments assist up to $2,000 and University up to $5,000. Source of funds is via the UT Coop Society that runs the textbook and Longhorn gear (i.e., athletic memorabilia) operations on campus [all profits of book sales and orange sports memorabilia are returned to university].

Iowa State University: Endowment established by President a decade ago through sale of IS University Press; administered through VPR’s office; $50,000-$100,000 available each year to cover Humanities faculty research, including subventions; limited to $20,000 annually to individual faculty member.

University of Michigan: survey conducted through MU Press concluded that average monograph required $5,000 to publish. College of Literature, Science, and the Arts (administered by Associate Dean for Humanities) set up fund (unclear if endowed or not) to cover $5,000 for faculty monograph subventions. Junior Faculty guaranteed funding (really helps with recruitment) and usually enough funds available each year to cover ~95% of all requests. [note: vanity press publications are not eligible].

Michigan State University: VPR has established HARP (Humanities and Arts Research Program) competitive funding of $350,000 annually, with up to $25,000 individual faculty member awards – generally used to buy teaching release, but more and more faculty are including subvention assistance in proposals.

In sum, within the framework of Aspire 2020, it seems clear that for the University of Oklahoma to move forward and become a leader in Humanities research among public universities of our size, there is a need for increased research funding in the Humanities, not only to cover increasing costs such as subventions, but for support of other research-related endeavors as well. Currently, the most effective model may be found with Michigan State University, which has
already set the bar for an appropriate solution---specifically, a dedicated, endowed fund that would generate at least $500,000 annually would be a tremendous boost for Humanities Research at OU in general, and would set the new standard for Humanities Research among our peer institutions.

Dave Hambright
#6. “What special funding mechanisms (i.e. endowments) might be effective in providing support for research in the arts and humanities, as an augmentation of or inducement for external funding, including support for graduate students?

1) Need for a special endowment reserved for research activities in the Humanities—book subventions, summer fellowships, course releases, research assistants, travel to collections, etc. (see monograph subvention fees handout). The endowment could be tied to the launching, maintenance, and operations of the new OU Humanities and Arts Center.

Many schools piece together support from various offices, as we do at OU now, but some do have funding specifically earmarked for faculty in the Humanities and the Arts (as with Michigan State, which, on a first level, funds two kinds of applications: “Scholarship Development—awards for research, creative, and performance projects of the kind that will help faculty achieve their career milestones of reappointment, tenure, promotion, and annual merit evaluation—and Scholarship Production—this is a subvention program whose purpose is to help subsidize the costs of book publication, permissions to use copyrighted materials, CD recording and production, the creation and mounting of exhibits, and other expenses associated with producing the results of a completed research or creative project.”)

With specific reference to obtaining outside funding, the VPR at Michigan State also has established The Competitive Discretionary Funding Program (CDFP), which “provides internal funds to support research opportunities that have significant potential for external funding and that support the research/scholarly thrusts of departments, colleges and the University. Requests for bridging of grants and seed funding needed for resubmission of a grant application are the types of applications that will be considered.” Applications by individual faculty need to include some form of matching from the appropriate department and/or college, and the eventual application for outside funding should be submitted within 6 months of receiving the internal funds. Maximum internal funding possible: $60,000.

2) Appeal to associations that encourage Humanities and Arts research for developmental support:

a) Institution-wide NEH “Promotion of the Humanities Challenge Grants.” Matching funds: requires the institution to match every federal dollar with three dollars. Grants last one to five years.

b) Individual applications to traditional NEH fellowship programs, as well as to new NEH programs, such as “Bridging Cultures.” (similar to “We the People”). “In setting
forth its vision for the National Endowment for the Humanities, Congress declared that ‘the humanities reflect the high place accorded by the American people to the nation’s rich cultural heritage and to the fostering of mutual respect for the diverse beliefs and values of all persons and groups.’ To help Americans better understand our own rich cultural heritage, while enhancing public knowledge of and respect for others both here and abroad, NEH has launched a new initiative, called *Bridging Cultures*. The initiative encourages projects that explore the ways in which cultures from around the globe, as well as the myriad subcultures within America’s borders, have influenced American society. With the aim of revitalizing intellectual and civic life through the humanities, NEH welcomes projects that expand both scholarly and public discussion of diverse countries, peoples, and cultural and intellectual traditions worldwide.”

3) Appeal to “Grants-in-Aid” programs to highlight our visibility, showcasing our strongest manuscript and document collections—History of Science, Western History, etc., similar to that at the University of Wisconsin: “The Friends of the UW-Madison Library are pleased to offer a minimum of four grants-in-aid annually, each one month in duration, for research in the humanities in any field appropriate to the collections ($2000-$3000 individual grants). The purpose is to foster the high-level use of the University of Wisconsin-Madison Library’s rich holdings, and to make them better known and more accessible to a wider circle of scholars.”

4) External funding sources aimed specifically at museums (Fred Jones Museum of Art, Sam Noble Oklahoma Museum of Natural History) (source: *Foundation Funding for the Humanities*, 2004): “Museum activities captured over 24 percent of humanities grant dollars and 22 percent of grants. History museum programs claimed the largest share of support, followed by ethnic and folk museum programs. Funding for museum activities overall grew by close to four-fifths from 1997 to 2002. The pace was much faster for history museums but slower for ethnic and folk museums. Some of the leading funders of museum activities in 2002 included, for history museums, the Annenberg and Robert R. McCormick Tribune foundations, the Perry and Nancy Lee Bass Corporation, and the Edward C. Johnson Fund; and for ethnic/folk museum activities, the Andrew W. Mellon Foundation, and the Horace W. Goldsmith and Rockefeller foundations. The top recipient of this support by far was the Philadelphia-based National Constitution Center, a history museum established to create awareness and understanding of the U.S. Constitution. The Center received $12.5 million primarily from local foundations for a new building and operating support.”

5) Governmental resources: For example, the National Security Education Program (“The Boren bill”). Serve to establish a Flagship in a given language area. We were just successful in landing $1.4 million for our Arabic program, which benefits not only the students enrolled in the program, but also provides funding for faculty—summer support, course releases, travel costs, research assistants, graduate teaching assistants, etc. Currently considering applying for Flagship funding in Chinese and Russian.
6) New focus in university-wide fund-raising, centered specifically on developing an endowment to support initiatives by faculty in the Humanities to obtain external funding.

7) OU Humanities Center Fundraising Efforts. Model: The Hall Center at the University of Kansas. “Friends of the Hall Center” funding helps to support Humanities Lecture Series, Public Outreach Symposia, Faculty and Graduate Student Seminars, the Annual Celebration of Books, the Hall Center Scholars Program, and the Hall Center Graduate Student Research Assistantships.

8) Creative new model? Similar to University of Texas or Iowa State? Profits from sports memorabilia or books used for Humanities and Arts research.

**Graduate student support:**

1) Fellowships: In place now are a number of fellowships, many focused on recruitment of strong graduate students. Augmentation of these fellowships (both in number and in dollar amount) necessary.

2) Teaching Assistantships: To be expanded both in number and in dollar amount. Equity of stipends to be reviewed: graduate students in the Humanities should receive levels of support similar to those in the Sciences.

3) Research Assistantships: Virtually non-existent now in our areas. To be more widely available (which would also aid faculty research initiatives).

4) Course release time: at least one additional teaching-free semester for ABD students on fellowship would be helpful. Release time for non-fellowship students?

5) Travel support: Conference presentations but also archival research trips. Some support in place, but very little annually. To be augmented.

6) Post-doctoral programs in the Humanities and Arts. Extremely rare now. To expand?

7) Encouragement, support to participate in programs such as the Traveling Scholar Program (coordinated by a national association, the Committee on Institutional Cooperation): “Since 1963, the Traveling Scholar Program has allowed doctoral students to spend up to a full academic year pursuing specialized courses of study, researching unique library collections, and working in advanced laboratories and facilities at other CIC institutions—with no change in registration procedures from their home university or additional tuition. Doctoral-level students interested in the Traveling Scholar Program must first consult their advisor who will determine whether the off-campus opportunity is likely to enhance the student’s course of study and ascertain that it is not, in fact, available on the home campus. The instructor/advisor at the host campus must also approve before a student completes the online application.”