



TO: South Dakota Institutions of Higher Education
FROM: Gary Johnson, System Vice President of Research
SUBJECT: Competitive Research Grant Program FY10
DATE: March 2, 2009

The South Dakota Board of Regents is again sponsoring the Competitive Research Grant Program as one of several initiatives designed to strengthen South Dakota's research competitiveness. The original Individual Seed Grant Program was established in 2005 in response to Governor Rounds' 2010 Initiative, specifically Goal Three, which challenges the state to "become a recognized leader in research and technology development by 2010." In the past five years, recruiting researchers to staff the 2010 Research Centers and to work in new Ph.D. programs has given a tremendous boost to the Governor's effort, but we are mindful that increasing research expectations and opportunities for existing faculty are also very important. The intent of this program is to invest in the researcher to enhance the research capabilities and capacities of our universities and benefit the state in response to the Governor's challenge.

Through this FY2010 Request for Proposals (RFP), the South Dakota Board of Regents solicits applications for funds to provide research grants to faculty in the Regental System's universities. The RFP will be available on-line March 2, 2009, through the following web address: <http://www.sdbor.edu/administration/research/>.

The amount of support available for this program is approximately \$500,000 and is contingent upon the availability of funds. This will allow five or more awards to be made based upon the quality of the grant submissions, the value added to research at our universities, and the impact on Goal 3 of the 2010 Initiatives. Faculty members who have new or ongoing research that they would like to pursue through this grant opportunity are encouraged to make application.

Important Dates:

- **Proposal Due Date: March 31, 2009**
- **Anticipated Announcement of Awards: May, 2009**
- **Grant Period: August 22, 2009 to August 21, 2010**

All communications regarding this program should be sent to:

Gary E. Johnson, Ph.D.
System Vice President of Research
South Dakota Board of Regents
306 E. Capitol Ave., Suite 200
Pierre, SD 57501-2545
Tel: (605) 773-3455
Gary.Johnson@sdbor.edu

**South Dakota Board of Regents
Competitive Research Grant Program
Request for Proposals
2009 – 2010 (FY10)**

1. Purpose of the Competitive Research Grant Program

The Governor's 2010 Initiative includes a substantial investment in scientific research personnel. The goal is to increase the role of university research in South Dakota's economic development; expand academic research; and exploit new development opportunities arising from it. The South Dakota Board of Regents (BOR) has established a program for FY10 to provide an opportunity for university researchers to develop research programs to become more competitive for external grants and contracts and to provide an opportunity to further develop their research ideas that may have commercial potential.

There are faculty members within the Regental System who may or may not be engaged in research and who can contribute to the development of the South Dakota research environment in a greater capacity. These individual research entrepreneurs will be assisted in their work by a competitive research grant that will help them grow their research individually or collaboratively. It is anticipated that this grant will increase research across the state and increase external grant and contract activity among those faculty who may not presently be involved in research or who may need increased funding to drive their research efforts to a higher level of competitiveness. In striving to meet the Governor's 2010 Initiative Goal 3, sub-goal of dramatically increasing our external funding to regional and nationally competitive levels, a program such as this one can increase research capacity in the university system.

Through this Request for Proposals (RFP), the South Dakota Board of Regents solicits applications for grants to provide research funding for one calendar year.

2. Available Funds

The amount of funds available from the BOR for this program is approximately \$500,000. Awards will not exceed \$100,000 per year and could be renewed up to \$100,000 for a second year by submitting a Year 2 Continuation Proposal (See Special Provisions in Appendix 4). The number of awards is dependent on the available budget. Funding in subsequent years is dependent on appropriations from the state legislature.

3. Project Duration

The duration of the grant is from August 22, 2009 to August 21, 2010. Research grants awarded for one year with BOR and university support may be approved for continuation for an additional year pending re-submission of a Year 2 Continuation Proposal demonstrating significant research progress and having met the initial evaluation criteria specified in the FY2009 RFP based on scientific merit, feasibility, and achievability. The Year 2 Continuation

award will be dependent on Legislative appropriations to the BOR and competitive standing based upon a favorable proposal review by an external review panel.

4. Mechanism of Support

This program will be partially funded by the South Dakota Board of Regents in the form of a grant to the principal investigator's home institution. The grant may be used for faculty salaries, post-doctoral assistants, graduate students, startup packages, and equipment in support of the particular research project. The recipient's institution must provide 1:1 matching funds to the BOR grant in cash and/or in-kind for the duration of the grant. Monitoring of grant progress and communication concerning the grant will be coordinated through the System Vice President of Research, SD Board of Regents.

5. Eligible Applicants

Applicant's eligible for this program are university employed tenure-track or tenured faculty members of the six Regental institutions whose regular funding source is at least 75% instructional in FY10 (fall semester 2009, spring semester 2010). Since the purpose of the program is to build capacity, priority will be given to individuals who are beginning their research career and who demonstrate a potential for significant growth in research with the receipt of this award. Likewise, faculty who have high teaching loads and who demonstrate high research potential should they be able to reduce those teaching loads via a research award are encouraged to apply. Researchers engaged in ongoing funded research may apply according to the stipulations outlined herein. Collaborations among researchers are encouraged. University research officers should be aware that this is intended to be a "value-added" program and that these funds should not be used to replace already existing funds for research release time. The submitting applicant should use the normal institutional process for submitting a grant proposal for external funding, including an institutional sign-off by the authorized institutional representative. Accounting of grant expenditures should be carried out through the institution's normal grants-accounting procedures. Faculty members receiving more than 25% of their salary support from the 2010 Research Center Program are not eligible for this program.

6. Research Focus Areas

To accomplish the objectives of the program, the areas of research supported by this program should meet one or more of the following criteria. It is the responsibility of the proposal author to demonstrate that the criteria are met:

1. The proposed research should be a high priority for a federal, state or private sector funding agency (or agencies) as indicated in agency strategic plans and/or recent funding patterns of the agency. This criterion is to ensure that the potential for long-term funding and building of a successful research program is available.

2. The research should build upon the expertise and experience of the faculty member who has an idea, concept or hypothesis they wish to research and exploit so that they can help expand the university system's research capacity.
3. The research should have the potential for development of a commercial entity or bringing of substantial new programmatic resources to the university.
4. Other evaluation factors being equal, preference will be given to faculty research proposals associated with research activity at the South Dakota Deep Underground Science and Engineering Laboratory at the Homestake Mine.

7. Expected Outcomes

Grantees are expected to show results and progress by:

- Meeting the goals and objectives identified in the proposal;
- Submitting individual or collaborative grants to external agencies for funding to perpetuate and grow their research;
- Submitting intellectual property disclosure agreements which may potentially lead to licenses, patents or copyrights as appropriate;
- Working closely with federal and state agencies and the private sector to develop linkages required to ensure that research is driven by a government agency and/or commercial needs;
- Using the award to refine and further develop prototypes for potential commercial development;
- Networking with peers throughout the state, region, nation and internationally to ensure the best scholarship and most focused research approaches can be accomplished.

The proposal should include a set of metrics based upon the above expected outcomes that will form the basis for a project review at the conclusion of the grant year. The metrics should include both traditional academic research reputational metrics (expenditures, publications, major presentations delivered, proposals submitted and grants obtained, etc.) as well as potential intellectual property metrics related to technology-transfer and commercialization (progress towards SBIR/STTR grants, invention disclosures, patent applications, copyrights, royalty income, licensing arrangements, etc.).

Any intellectual property that is derived from research associated with this grant, that is determined to be worthy of commercialization, will be developed in accordance with Board of Regents Policy No. 4:34 (Intellectual Property). Joint ownership of intellectual property with another organization, such as a business, is permissible. It is recognized that many unique situations are likely to occur with respect to intellectual property and that negotiation will be required in most cases to arrive at an agreement that is acceptable to all parties.

8. Review Process

These grants will be competitively awarded to ensure that the research focus is in areas that advance South Dakota's research priorities. Proposals will be reviewed by an external review panel contracted by the Board of Regents. The panel selected will provide for a wide range of expertise. The panel will rank the proposals based on the review criteria (See Appendix 4 for a copy of the Review Form) and forward their evaluations to the Executive Director who will consult with the South Dakota Research and Commercialization Council for their consideration and recommendations. The Executive Director or Council may wish to conduct interviews in conjunction with any award decisions.

9. Review Criteria

- **Purpose and Outcomes (30%)**
Reviewers will be asked to consider whether each proposal is likely to produce high quality research and lead to major external funding in the future. Reviewers will be asked to consider each proposal in light of the outcomes described above.
- **Significance and Impact – Scientific Merit (30%)**
Is the proposed area of investigation significant to the national research community and to funding agencies? Is the project designed in a manner likely to produce significant results? Is the work likely to produce significant new research capacity or commercialized entities?
- **Capability – Feasibility (30%)**
Reviewers will be asked to consider whether each proposal has a foundation in scientifically based research and an effective plan for meeting its objectives. Proposals should include a description of the faculty member's qualifications and any project staff, description of facilities and equipment, and show any resources from other sources.
- **Overall Proposal Quality (10%)**
Is the proposal professionally prepared? Is the proposal convincing to the reviewer? Is this a proposal that could go forward to a potential funding source with only minor revision?

10. Reporting

Interim Progress Reports are due as follows: The 1st Interim Progress Report is due December 18, 2009, a 2nd Interim Progress Report is due May 14, 2010, and a Final Report is due August 21, 2010. Reports are to be prepared by the Principal Investigator and will be sent to the Chief Research Officer of the host university who will forward it electronically to the System Vice President of Research at the Board of Regents. The reports will be used to make funding

decisions for the second semester, summer stipend, and Year 2 Continuation funds as appropriate. Report forms will be provided at the time an award is made.

11. Administrative and Financial Requirements

- A. Award Level: Competitive Research Grant funds of up to \$100,000 will pay for one calendar year of a faculty member's research project. There will be no indirect costs awarded. Fringe benefits are allowable costs and should be included in the budget.
- B. The funding will be matched by the university in cash and/or in-kind. The types and sources of the funds for the matching release time will be determined by the host university. Fringe benefits for institutional match will come from institutional sources. Overloads and teaching of summer courses are not allowed during the grant period.
- C. Proposals may be joint proposals from two or more faculty members within institutions or among institutions. Budgets should be constructed to show the proportionate share of the budget allocated to each researcher.
- D. Commitment to Submit Project Reports: An application is a commitment on the part of the principal investigator to submit all required project reports. A 1st Interim Progress Report is due December 18, 2009, a 2nd Interim Progress Report is due May 14, 2010, and a Final Project Report due August 21, 2010 must be filed with the University Chief Research Officer. These reports will be forwarded to the BOR System Vice President of Research.
- E. Requests for Reimbursement: Upon request by the awardees institution, the Board of Regents will provide phased funding by August 21, 2009, January 15, 2010 and June 30, 2010 in payment of the award during the calendar year of work. The budget justification should reflect the need for specific portions of the award at these times.
- F. Contributions: The budget should provide information on other support in detail, for example, supplies, capital expenditures, travel, staff support and funds from other sources.
- G. Compliance: The normal regulatory compliance requirements (human subjects, biohazards, animal welfare, etc.) must be adhered to, and appropriate approvals granted before work on the project can commence. These approvals may be obtained during the review process.
- H. Faculty members compensated with BOR Competitive Research Grant resources who leave the university system prior to completion of the project will be required to reimburse the Board of Regents up to 100% of the state's

portion of the grant, or at minimum reimburse any compensation dollars awarded during the performance period.

12. Proposal Format and Components

This section provides instructions on drafting and assembling the proposal. It does not modify or replace any earlier section of this RFP. Refer to Appendix 1 for a complete list of required items and the order of assembly.

A. *Format and Length*

- Proposals should be single sided, double spaced, font size 12, font style Times New Roman or Arial preferred, all pages numbered.
- **Proposals may use up to 6 pages of text on the projected research.**

Appendices beyond those items required may be attached to each proposal. However, the total length of a proposal including appendices **must not exceed 18 pages**. Letters of support from potential commercial partners may be included. A single letter of support for the proposal signed by the researchers Department Chair/Head, Academic Dean, and Chief Research Officer is required (See Appendix 4).

B. *Purpose, Proposed Activities and Outcomes:*

Carefully respond to the purpose of the program as described previously, provide details of activities along with a scientifically based research foundation. Outcomes should be identified as reasonable and measurable and specific to the research and will provide the basis of consideration for approval of a Year 2 Continuation Proposal if requested. This section should be given primary attention in preparing the proposal and should be as specific and detailed as possible.

C. *Bibliography of Pertinent Literature:*

Include citations to major pertinent literature that support statements in the grant proposal (including the scientifically based foundation for the project).

D. *Submission of Proposals:*

Proposals will be submitted electronically to Heather Badger at heather.badger@sdbor.edu

Proposals must be received in the Board of Regents Office by 5:00 PM (CST), March 31, 2009.

Proposals that are late, incomplete, do not follow the guidelines, or that are submitted by ineligible faculty will not be considered.

E. Program Calendar:

Request for proposals	March 2, 2009
Deadline for receipt of proposals	March 31, 2009
Anticipated announcement of awards	May, 2009
Grant Period	Aug. 22, 2009 to Aug. 21, 2010
Availability of funds	August 21, 2009 January 15, 2010 June 30, 2010
Deadline 1 st Interim Progress Report	December 22, 2009
Deadline 2 nd Interim Progress Report	May 14, 2010
Deadline for Final Project Report	August 23, 2010
Deadline to spend FY10 monies	June 30, 2010

APPENDIX 1

Competitive Research Grant Program Proposal Assembly & Submission

Order of Assembly

1. Cover Page (see RFP Appendix 2)
2. Table of Contents
3. Project Summary (see RFP Appendix 3)
4. Project Description – maximum number of pages: 6 double-spaced, typed on only one side of each page, font size 12, font style Times New Roman or Arial preferred
 - A. Research Objectives
 - B. Background and Significance
 - C. Proposed Work (Methodology)
 - D. Description of Facilities and Resources
 - E. Capacity Building or Commercialization Potential
5. Contributions of Organization and others
6. Budget
7. Budget Justification narrative
8. Bibliography of Pertinent Literature
9. Curriculum Vita and Current Support: Two page limit. Use a format similar to that required by a federal agency where this proposal might be submitted.
10. Attachments (limit to what is necessary to understand the proposal), include any letters of support from commercial entities and a required letter of support signed by the researchers Department Chair/Head, Academic Dean, and Chief Research Officer (see RFP Appendix 4, Special Provisions).

Submission of Proposals

Proposals must be submitted electronically with required signatures by 5:00 PM CST on March 31, 2009 to: heather.badger@sdbor.edu

APPENDIX 2

**Competitive Research Grant Program
Cover Page**

Name of Submitting Organization to Which Award Should be Made
(Include Branch/Campus/Other Components)

Address of Organization (Include Zip Code)

Title of Proposed Project

PI Department _____

PI Organization _____

PI Name

E-mail Address

Principal Investigator

Authorized Organizational Representative

Name

Name

Signature

Signature

Title

Title

Date

Telephone #

Date

Telephone #

APPENDIX 3

Competitive Research Grant Program Project Summary

Name of Institution (include Branch/Campus and School or Division)

Address (Include Department)

Principal Investigator

Title of Project

Technical Abstract (Limited to 25 Lines, Font Size 12)

APPENDIX 4

Competitive Research Grant Program Special Provisions

Letters of Support

Letters of support from potential partnering commercial entities are permitted.

A single letter of support signed by the researchers Department Chair/Head, Academic Dean, and the institution's Chief Research Officer is required. This is to insure that the institutions Department, College, and Research Office are in concurrence with the proposed research effort. The contents of the letter should indicate concurrence with the research proposed, and make note that the research supports the research direction of the Department, College, and institution. Furthermore, the institutional support letter should indicate alignment of the proposed research with any institutional strategic research plans.

These letters are included in the 18 page limit for the entire proposal.

Year 2 Continuation Proposals

Last year's Competitive Research Grant Program (FY09) allowed for research grants awarded for one year with BOR and university support to potentially be approved for continuation for an additional year pending re-submission of a Year 2 Continuation Proposal. A Year 2 Continuation Proposal must show significant progress and demonstrate having met the initial evaluation criteria described in those proposals based on scientific merit, feasibility, and achievability.

Investigators who were successful in obtaining awards under the Competitive Research Grant Program last year must meet eligibility requirements as stated in this RFP, and must submit a full new proposal under the guidelines of this RFP. Continuation proposals will be subject to the same review criteria as other new proposals submitted under this RFP.

Proposals should be clearly identified as a "Year 2 Continuation Proposal".

Review Form

A copy of the External Evaluation Team Review Form is attached for your information.

GOVERNOR'S 2010
COMPETITIVE RESEARCH GRANT PROGRAM – FY10

Review Form

Principal Investigator:

Proposal Title:

Please comment briefly in each area and provide an overall ranking of the proposal.

1. **Purpose and outcomes (30%):** Is the proposal likely to produce high quality research and lead to external funding in the future?

2. **Significance and Impact (30%):** Is the proposed area of investigation significant to the national research community and to funding agencies? Is the project designed in a manner likely to produce significant results? Is the work likely to produce significant new research capacity or commercialized entities?

3. **Capability (30%):** Does the proposal have a foundation in scientifically based research and an effective plan for meeting its objectives?

4. **Overall Proposal Quality (10%):** Is the proposal professionally prepared? Is the proposal convincing to the reviewer? Is this a proposal that could go forward to an external potential funding source with only minor revision?

Category 1 Score _____ %
Category 2 Score _____ %
Category 3 Score _____ %
Category 4 Score _____ %
Overall Numerical Score: _____ %

Overall Ranking: _____ **Excellent**
 _____ **Very Good**
 _____ **Good**
 _____ **Fair**