



TO: South Dakota Institutions of Higher Education
FROM: Scott Meyer, System Vice President of Research
SUBJECT: Competitive Research Grant Program
DATE: February 25, 2008

The South Dakota Board of Regents is sponsoring the Competitive Research Grant Program as one of several initiatives designed to strengthen South Dakota's research competitiveness. The initial 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 four years, recruiting researchers to staff the 2010 Research Centers and to work in new Ph.D. programs has been a tremendous boost to the Governor's effort, but we need to be mindful that increasing research expectations and opportunities for existing faculty is 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 FY2009 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 February 25, 2008, at the following website: <http://www.sdbor.edu/administration/research/index.htm>.

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

Important Dates:

- **Proposal Due Date: March 31, 2008**
- **Anticipated Announcement of Awards: May, 2008**
- **Grant Period: August 15, 2008 to August 14, 2009**

All communications regarding this program should be sent to:

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South Dakota Board of Regents
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Tele: (605) 773-3455
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**South Dakota Board of Regents
Competitive Research Grant Program
Request for Proposals
2008 – 2009 (FY09)**

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 FY09 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 develop their ideas that may have commercial potential.

There are faculty 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 industry 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 not presently 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 regionally 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. The number of awards is dependent on the budget figures for the recommended awardees. Further funding in subsequent years is dependent on appropriations from the state legislature.

3. Project Duration

The duration of the grant is from August 15, 2008 to August 14, 2009. 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 showing significant progress and having met the initial evaluation criteria based on scientific merit, feasibility, and achievability. The Year 2 Continuation award will be dependent on Legislative appropriations to the BOR and favorable review by an external 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, startup packages, graduate students, 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

Eligible applicants 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 FY09 (fall semester 2008, spring semester 2009). Since the purpose of the program is to build capacity, priority will be given to individuals who do not have a record of success with external funding agencies or who are just getting started in their research career with a potential for significant growth with the receipt of this award. 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 grants expenditures should be carried out through the institution's normal grants-accounting procedures. Faculty members receiving any 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 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 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 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. Preference will be given to faculty research associated with research activity at the South Dakota Deep Underground Science and Engineering Laboratory at Homestake.

7. Expected Outcomes

Grantees would be 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 patent, copyright, or other intellectual property disclosure agreements 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 company's needs;
- Using the time to refine and further develop prototypes for commercial development;
- Networking with peers throughout the state, region, nation and internationally to ensure the best scholarship and most focused approaches can be accomplished.

The proposal should present 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, grants submitted and obtained, etc.) as well as intellectual property metrics related to technology-transfer and commercialization (SBIR/STTR grants, 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 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 development agenda. Proposals will be reviewed by an external expert 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 and forward their choices 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 (35%)

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 (35%)**
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. All proposals should make the case that the project is an effective use of the limited grant funds.

10. Evaluation Plan

The proposal should describe how the project will be subject to a rigorous and comprehensive internal evaluation that is clearly related to the project's purpose and to the specific objectives of the project. An external, objective panel of experts will review submitted proposals for scientific merit, feasibility, and achievability given the proposed timeframe and budget. Significant consideration will be placed on the potential for furthering the research successfully beyond the period of this grant.

11. Reporting

The 1st Interim Report due December 19, 2008, a 2nd Interim Report due May 15, 2009, and a Final Report due August 14, 2009 prepared by the Principal Investigator 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 according to the stated guidelines. The Final Report should include a copy of the evaluator's report for the project. The reports will be used to make funding decisions for the second semester, summer stipend, and Year 2 Continuation funds. The report forms will be provided at the time an award is made.

12. 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.
- 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. Benefits for the state funds and 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. Separate proposals from each faculty member will be required to identify the costs associated with their participation, but they should be submitted together. Each proposal will be judged on its own merit.
- 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 Report due December 19, 2008, a 2nd Interim Report due May 15, 2009, and a Final Report including the evaluator's report due August 14, 2009 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 funding by August 15, 2008, January 12, 2009 and June 30, 2009 in payment of the award during the calendar year of work. The budget 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 the end of Summer 2009 will be required to reimburse the Board of Regents 100% of the state's grant. The award of grant compensation to a faculty member serving on a term contract does not guarantee future appointments. Therefore, a faculty member serving on a term contract is not subject to the repayment obligation if his or her contract is not renewed by choice of the university.
- I. Grant recipients will agree to prepare a poster presentation concerning their research project and participate in a Competitive Research Grant Program Day at the State Capitol during the 2010 Legislative Session (February 2010).

13. 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, pages numbered.
- **Proposals may use up to 6 pages of text on the projected research.**
- Appendices beyond those required may be attached to each proposal. However, the total length of a proposal including appendices **must not exceed 15 pages**. No other supporting documents, such as letters of support or videos, may be included.

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 source for consideration for approval of a Year 2 continuation if requested. This section should be given primary attention in preparing the proposal and should be as specific and detailed as possible.

C. Evaluation Plan:

See section above on evaluation plan.

D. Bibliography of Pertinent Literature:

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

E. Submission of Proposals:

Proposals will be submitted electronically to Tasina Nitzschke at tasinan@sdbor.edu.

Proposals must be received in the Board of Regents Office by 5:00 PM (CST), March 31, 2008.

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

F. Program Calendar:

Request for proposals	February 25, 2008
Deadline for submission of proposals	March 31, 2008

Anticipated announcement of awards	May, 2008
Grant Period	Aug.15, 2008 to Aug.14, 2009
Availability of funds	August 15, 2008 January 12, 2009 June 30, 2009
Deadline 1 st Interim Project Report	December 19, 2008
Deadline 2 nd Interim Project Report	May 15, 2009
Deadline for Final Project Report & evaluation data	August 15, 2009
Deadline to spend FY09 monies	June 30, 2009

APPENDIX 1

Competitive Research Seed 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
 - 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. Bibliography of Pertinent Literature
8. Vita and Current Support: Use a format similar to that required by a federal agency where this proposal might be submitted.
9. Attachments (limit to what is necessary to understand the proposal)

Submission of Proposals

Proposals must be submitted electronically with required signatures by 5:00 PM CST on March 31, 2008 to: Tasina Nitzschke at tasinan@sdbor.edu.

APPENDIX 2

**Competitive Research Seed 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 _____ AI Department _____

PI Organization _____ AI 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 Seed 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)