RHODE ISLAND RESEARCH ALLIANCE COLLABORATIVE GRANT AWARD GUIDELINES

September 2010

Submission Due Dates

Preliminary Proposal: September 30, 2010 (4:30 p.m. ET)
Full Proposal: October 28, 2010 (4:30 p.m. ET)

Rhode Island Research Alliance
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RHODE ISLAND
SCIENCE & TECHNOLOGY
ADVISORY COUNCIL

September 2010

Dear Colleague,

The Rhode Island Science and Technology Advisory Council (STAC) invites you to apply for funding through the Rhode Island Research Alliance's Collaborative Grants Program, a statewide platform for supporting collaborative, multi-institutional, innovative research across the state's academic and commercial research institutions.

Transformative investments in R&D which build on our strengths and accelerate the transfer of discovery into the marketplace are key to long term economic security and job growth. Since its inception in 2007, the Collaborative Research Grants program has made just these types of investments, providing five million dollars in funding to 30 teams of investigators representing a spectrum of disciplines in the basic and applied sciences, ranging from improving the design of prosthetic limbs to the development of ocean wave energy technologies.

The Rhode Island Science and Technology Strategic Plan, adopted last year, identifies three core science and technology sectors in which we have the potential to build world class R&D stature and establish economic vitality: marine sciences and technology, life sciences and energy and the environment. Because investing in our areas of strength and expertise is so important, collaborative proposals that support these three core sectors, including those collaborations that fall at the convergence of these sectors, are particularly desirable.

We hope you will apply for this unique funding opportunity and look forward to working together to position Rhode Island as a leader in collaborative research and innovation.

Sincerely,

Clyde Briant
Vice President for Research
Brown University

David Farmer
Dean, Graduate School of Oceanography
University of Rhode Island

INTRODUCTION

About the Rhode Island Science and Technology Advisory Council (STAC)

The Rhode Island Science and Technology Advisory Council (STAC) is a coalition of business, academic, civic and government leaders with the mission to recommend to state leadership strategic investments that drive economic development and job creation by maximizing the economic impact of research, technology and innovation. STAC initiatives support the state's research and development activities and promote collaboration across institutions, encourage entrepreneurship and new company creation through the transfer of new technologies and discoveries into the marketplace, and create an environment that enables innovation to flourish. STAC is the State Governing Committee for NSF RI EPSCoR.

About the Rhode Island Research Alliance

To create stronger connections across the state's research organizations, STAC created the Alliance to serve as a platform for promoting collaboration, maximizing state and federal investment in research and enhancing the state's R&D-related economic development opportunities. This effort has resulted in the annual infusion of $1.5 million in support for collaborative research and represents one of the most significant direct investments in research in state history, affirming the commitment of our state's leadership to strengthen Rhode Island's R&D capacity. By promoting collaboration among the state's research universities, research hospitals, corporations and government agencies, the Alliance supports current research activities, strengthens Rhode Island's ability to attract federal and corporate research investment for new projects and spurs economic development and job growth.

About the Collaborative Research Grant Awards

Collaborative grants are awarded to support a catalytic stage of inter-organizational, inter-disciplinary, collaborative research projects that are well positioned to attract substantial follow-on investment, have significant potential for technology development/commercialization, and/or advance bench-to-bedside and bedside-to community translational efforts.

Research Alliance funding provides a mechanism for teams of individuals to work together on important and promising research projects across Rhode Island's research colleges and universities, research hospitals, corporations and government agencies. Research Alliance funding is also used to support research infrastructure development.

Eligible projects must clearly lead to major new research opportunities that can be supported by federal agencies, corporations and/or foundations or contribute towards current or future economic development of the state through technology development and commercialization. The maximum amount of any given award is $200,000. Proposals must clearly show how the combined efforts of the institutions can lead to results that could not be achieved by either alone. All science and engineering research areas will be considered. Those projects with strong translational components and projects that focus on infrastructure development that significantly advance the competitiveness of scientists in Rhode Island to secure additional funding awards are encouraged. Those projects

which support collaborative work in the three core sectors identified by the Rhode Island Science and Technology Strategic Plan as areas of core strength -- marine sciences and technology, life sciences and energy and the environment -- including those collaborations that fall at the convergence of these sectors, are particularly desirable.

Who May Apply
Rhode Island research institutions, including academic, medical or business and government organizations, may apply for grant funding. Applications must be collaborative with at least two distinct organizations, one of which shall be a Rhode Island institution of higher education which will serve as the fiduciary agent for the grant (Brown University, Bryant University, Community College of Rhode Island, Johnson & Wales University, New England Tech, Providence College, Rhode Island College, Rhode Island School of Design, Roger Williams University, Salve Regina University and University of Rhode Island). Projects currently funded by the Research Alliance are not eligible for continuation funding. Submission of a revised proposal that was not previously selected for funding is acceptable.

Length of Award
Awards are for the calendar year 2011.

Submission Deadlines
All applicants are required to submit an electronic copy of both a preliminary proposal and a full proposal. Preliminary proposals are due September 30, 2010 by 4:30 p.m. ET. Full proposals are due October 28, 2010 by 4:30 p.m. ET. A hard copy of the full proposal with original signatures is also required and should be submitted by November 4, 2010.

Preliminary Proposals
Preliminary proposals are required for all submissions. **All investigators who submit an eligible pre-proposal are invited to submit a full proposal.** The principle investigator (PI) of a proposal which does not meet the eligibility requirements will be notified.

Proposal Processing
Funds will be awarded through an independent, competitive peer-review process. The competitive granting process will embrace review and evaluation criteria similar to those used by the National Science Foundation including intellectual merit and broader impacts of the proposal. A STAC subcommittee appointed by STAC co-chairs will determine the awards and will consider the quality of the research as judged by peer reviewers, the strength of the activity in advancing the objectives of the Research Alliance and alignment with the Rhode Island Science and Technology Strategic Plan. The awards will be announced in January 2011.

Program Contact
For any questions regarding the Collaborative Research Award guidelines, please contact Christine M.B. Smith by email at csmith@riedc.com or by telephone at 401-278-9197.

Intellectual Property
Acceptance of this grant does not transfer any intellectual property rights. All information and findings derived from activities funded by Research Alliance grants remain the property of the grantee.

PRELIMINARY PROPOSAL INSTRUCTIONS

Purpose
This preliminary proposal is intended to assist in the identification of appropriate peer reviewers and to verify the eligibility of the proposer(s). If a proposal is found to be not eligible, the proposer(s) will be notified. **All eligible preliminary proposers are invited to submit a full proposal.**

Format
A brief one to two page preliminary proposal should be submitted by September 30, 2010 which specifically states the catalytic nature of this one-year stage of activity and describes how this award will produce data or other results that will lead to major new research opportunities that can be supported by federal agencies, corporations and/or foundations, advance the project's potential for technology development and/or commercialization or advance bench-to-bedside and bedside-to community translational efforts.

If the proposal is for infrastructure improvement, the preliminary proposal should explain why the instrument or equipment is a critical addition to Rhode Island's research platform and how it will significantly advance the research competitiveness of scientists in Rhode Island to secure additional funding awards.

The preliminary proposal must also provide a list of the parties involved (including their names, titles, affiliated research organization and contact information) and the specific scientific area the activity will investigate.

Proposals should be typed, font size no smaller than 10 point with standard margins (at least one inch in all directions)

FULL PROPOSAL INSTRUCTIONS

Conformance with Instructions

Proposals should provide a concise, complete and clear description of the applicants' ability to meet the requirements set forth in the guidelines. It is important that all proposals conform to instructions and be complete. **Incomplete, late or unsigned applications will be ineligible and will not be reviewed.**

Format

Proposals should be typed, font size no smaller than 10 point with clearly marked pagination. Standard margins should be used (at least one inch in all directions). Sections to be included are listed below with an estimated length of each section provided for the PI's reference:

Face Sheet (one page)
Proposal Overview (one page)
Table of Contents (one page)
Project Summary (two pages)
Project Description (not to exceed 7 pages)
Biosketches (as needed)
Budget (as needed)

Section Content

- **Face Sheet** as supplied in the appendix of these guidelines listing project title, name, contact information and affiliated Rhode Island research institution for each principal investigator and co-principal investigator(s), name and contact information for administrative official to be notified if award is made and name and signature of institutional office submitting the proposal. **This Sheet must have the authorizing signature of the lead institution proposing the work. Scanned copies of the signatures will be accepted for electronic submission on October 28, 2010. Hard copies must be submitted no later than November 4, 2010.**

- **Proposal Overview** as supplied in the appendix of the guidelines clearly stating budget summaries (individual institution and aggregate), expected outcome and catalytic nature of proposal. The Overview must also include an approved title and narrative description of the proposal which can be utilized in public documents.

- **Table of Contents (one page)** listing all sections and pagination.

- **Project Summary (two pages)** written in the third person should be a self-contained description of the activity. It should include a statement of objectives and methods and clearly state the intellectual and other merits of the activity. This summary should include how the activity advances

knowledge and understanding, the qualifications of the team to conduct the project and how the research activities will be integrated. It should also specifically explain how specific results or data generated by the project will increase the team's potential for commercialization and/or follow-on funding or how this activity enhances Rhode Island's state-wide research platform.

- **Project Description (not to exceed 7 pages)** clearly detailing the plan of work, the objectives of the activity, the intellectual merits of the activity, a clear description of experimental methods and procedures and plans for how this research will be used. It must also describe how it meets the specific collaborative and catalytic requirements of this grant regarding: how the combined efforts of the institutions can lead to results that could not be achieved by either alone; how the activity is catalytic in nature and will lead to major new research opportunities that can be supported by federal agencies, corporations and/or foundations; how the activity can contribute towards current or future economic development of the state through technology development and/or commercialization potential; how the activity significantly enhances efforts to secure additional EPSCoR awards (if appropriate); how the activity significantly advances the research competitiveness of scientists in Rhode Island for federal and/or other funding; how the activity advances state-wide research capacity.

- **Biosketches (as needed)** of principal investigator and co-principal investigator(s) should include professional preparation, appointment, publications and other activities.

- **Budget (as needed)** by institution for the duration of the research activities detailing all expenses including, when applicable, salaries and wages, equipment, travel and all direct costs. **No indirect cost charges are allowed**; funds may not be used for any indirect cost charges at any institutional partner in these grants. The budget must include a narrative justification of expenses. The narrative justification must stipulate a total budget figure for the project.

Supplemental Documents

The following supplemental documents will be accepted:

- **Proprietary or Privileged Information:** Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the proposer, should be included in proposals only when such information is necessary to convey an understanding of the project. Such information must be clearly marked and appropriately labeled.

- **List of Suggested Reviewers or Reviewers Not to Be Included**: Proposers may include a list of reviewers who they believe are especially

well qualified. Proposers may also designate an individual(s) they wish not to review the proposal and must indicate why.

Submission
All applicants are required to submit both a preliminary proposal and a full proposal. Instructions described below are also posted on the RI STAC website, http://www.stac.ri.gov.

Preliminary proposals are due **September 30, 2010** by 4:30 p.m. ET and should be emailed to riresearchalliance@riedc.com. Subject line should read: Last Name, First Initial, Pre-Proposal (i.e. Smith, Christine, Pre-Proposal).

Full proposals are due **October 28, 2010** by 4:30 p.m. ET. Final proposals should be submitted electronically through the online submission tool found on the RI STAC website, (http://www.stac.ri.gov). A direct link to this submission tool will be provided when eligibility it confirmed.

A hard copy of the full proposal should be mailed to the attention of Christine Smith, RIEDC, 315 Iron Horse Way, Suite 101, Providence, RI, 02908. Hard copies of the full proposal should be submitted by **November 4, 2010**.

Applicants will receive a reply email confirming receipt of their pre and full proposals. **Late, unsigned or incomplete applications will not be reviewed**.

Residual Funds
Residual funds shall be returned to the grantor.

PROCESSING AND REVIEW

Review Criteria
Proposals will be evaluated using two National Science Board approved merit criteria: the intellectual merit and the broader impact of the proposed research activity.

For intellectual merit, the proposal evaluation will consider how important the activity is to advancing knowledge or understanding within its own field or across different fields; how well qualified the team is to conduct the activity; to what extent the activity suggests and explores creative and original concepts and how well organized the activity is.

For broader impacts, the proposal evaluation will consider how well the proposed activity advances discovery and understanding; whether the project is catalytic in nature and has the potential to lead to major new research opportunities that can be supported by federal agencies, corporations and/or foundations; whether the proposed activity has significant potential for the attraction of substantial follow-on investment and/or technology development/commercialization; whether the proposed activity clearly shows how the

combined efforts of the institutions can lead to results that could not be achieved by either alone; and whether the proposed activity advances state-wide research capacity.

In addition, proposals will be evaluated on the basis of how well the proposed activity advances the objectives of the Research Alliance including whether the proposed activity enhances efforts to receive additional awards and advances the competitiveness of scientists in Rhode Island; how broadly the outcome of the proposal will impact the greater public; how the activity complements other state-wide activities; and how the activity aligns with the core strengths identified by the Rhode Island Science and Technology Strategic Plan.

Award Notification
Awards will be announced in January 2011. Proposers will be notified by email of the success or declination of their grant request.

Post Award

Award Letter
Sponsoring institutions will be required to agree to all conditions regarding acceptance of the award including submission of required narrative and financial reports.

Progress and Final Reports
Progress and final reports will be required to assist the grantor in measuring how the expenditure of the grant 1) advances the research competitiveness of scientists in Rhode Island for federal funding technology development and/or commercialization potential; 2) advances collaboration across the state's academic and commercial research institutions; and 3) promotes current or future economic development. Progress reports will be required on May 1, 2011 and December 1, 2011 stating the status of the research and any definitive results. A final report will be required no later than January 31, 2012.

APPENDIX

Rhode Island Research Alliance Grant Application
RIRA-CA-2011
Proposal Face Page

Project Title:

Principal Investigator (PI) Name & Title

Research Institution
Address

Tel/Fax/Email
Signature

Co-PI Name & Title

Research Institution
Address

Tel/Fax/Email
Signature

Co-PI Name & Title

Research Institution
Address

Tel/Fax/Email
Signature

Co-PI Name & Title

Research Institution
Address

Tel/Fax/Email
Signature

Lead Institution

ADMINISTRATIVE OFFICIAL TO BE NOTIFIED IF AWARD IS MADE

OFFICIAL SIGNING FOR APPLICANT ORGANIZATION

SIGNATURE & DATE

Assurances
The institution certifies that this proposal meets all eligibility requirements listed in the General Guidelines, and that all information contained in this application is true and correct to the best of its knowledge. The institution further certifies that it is in compliance with all applicable Federal, state and institutional regulations and policies relevant to the conduct of this project

Rhode Island Research Alliance Grant Application
RIRA-CA-2011
Proposal Overview

Please provide the following information about your research project. Note that the information you supply on this page MAY be made public.

General Information:

Project P.I. and Institution:

Project Title:

Brief Description:

Catalytic Nature of the Project:

Expected Outcomes (List):

Budgetary Information:

A. Primary Grantee:	**Requested Funds**
1. Personnel	
Professional	
Student	
2. Equipment	
3. Supplies/Materials	
4. Travel/Meetings/Other	
Primary Grantee Total	
B. Subcontract I:	
1. Personnel	
Professional	
Student	
2. Equipment	
3. Supplies/Materials	
4. Travel/Meetings/Other	
Subcontract I Total	
C. Subcontract II:	*(if present)*
1. Personnel	
Professional	
Student	
2. Equipment	
3. Supplies/Materials	
4. Travel/Meetings/Other	
Subcontract II Total	
TOTAL	