



Rhode Island Research Alliance Collaborative Grant Award Guidelines

Submission Due Dates

Preliminary Proposal: January 23, 2014 (4:30 p.m. ET)

Full Proposal: March 20, 2014 (4:30 p.m. ET)

**Rhode Island Research Alliance
315 Iron Horse Way, Suite 101
Providence, RI 02908
rresearchalliance@riedc.com**

Contact

Christine M.B. Smith, STAC Executive Director

csmith@riedc.com

T: 401.278.9197

F: 401.273.8270

W: www.stac.ri.gov

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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, medical 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 by promoting collaboration across institutions and encouraging entrepreneurship and new company creation through the transfer of new technologies and discoveries into the marketplace. STAC is the State Governing Committee for RI NSF EPSCoR.

About the Rhode Island Research Alliance (RIRA)

To create stronger connections across the state's research organizations, STAC created RIRA 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. By promoting collaboration among the state's research universities, research hospitals, corporations and government agencies, the Alliance supports current research activities, strengthens the ability of Rhode Island investigators to attract federal and corporate research investment for new projects and spurs economic development and job growth.

About the Collaborative Research Grant Awards

Competitive funding is offered to provide seed grants to promising inter-organizational research projects that have significant potential to 1) commercialize or license intellectual property; 2) attract and leverage follow-on funding from federal or private sources; 3) develop private sector partnerships; or 4) create new ventures or new product lines.

This funding from STAC 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. Proposals must clearly show how the combined efforts of the investigators can lead to results that could not be achieved by either alone. These grants require one Principal Investigator and one Co-PI. Additional unfunded collaborators may be included.

Approximately **\$450,000** in funding is available through this Call for Proposals.

Who May Apply

Rhode Island research institutions, including higher education, academic, medical or business and government organizations, may form teams to apply for grant funding. Project teams must be collaborative in nature and include investigators from at least two distinct entities. Each collaborative team shall include at least one Rhode Island institution of higher education or hospital. A University/College or a collaborating academic -medical partner must serve as the prime grantee. Grant recipients are limited to Rhode Island based institutions.

Amount of Award and Allowed Costs

The maximum amount of any given award is \$75,000. Proposers should request only the amount they believe is absolutely required for the project and the expectations for the project will be considered along with the budget amount. No indirect costs will be allowed for these seed grants. Direct costs may be used to cover supplies, essential equipment, travel, and personnel costs for graduate and undergraduate students, postdoctoral fellows and technicians. No faculty salaries will be allowed.

Length of Award

One twelve-month period. No extensions will be granted.

Submission Deadlines

All applicants are required to submit an electronic copy of a preliminary proposal by January 23, 2014. An electronic copy of an invited full proposal is due by March 20, 2014.

Preliminary Proposal Review and Evaluation

Preliminary proposals are required for all submissions. Proposals will be reviewed for eligibility and suitability to the program's objectives. Evaluation and rating criteria will include the catalytic and collaborative nature of the project and the potential for economic impact and sustainability beyond the grant performance period. Following this review, teams will be invited to submit a full proposal. The Principle Investigator (PI) of the proposal will be notified as to whether, or not, the team is invited to submit a full proposal.

Full Proposal Review and Evaluation

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 federal funders including intellectual merit and broader impacts of the proposal. A selection panel appointed by STAC will determine the awards.

Award Announcement

The awards will be announced in May 2014.

Program Contact

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

Intellectual Property

Intellectual property created by activities funded by STAC grants will be handled according to the policy of the applicant's institution.

PRELIMINARY PROPOSAL INSTRUCTIONS

Format

A brief two page preliminary proposal should be submitted by January 23, 2014 which includes:

- 1) the names, titles, affiliated research organizations and contact information for the PI and Co-PI;
- 2) the project title;
- 3) a clear and concise statement of the proposed activity suitable for publication;
- 4) a self-contained description of the activity that would result if the proposal were funded including a statement of objectives, expertise of the team and facilities to be used. It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader;
- 5) a description of how this award will produce 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; develop IP/licensing opportunities; or create new ventures or new product lines.

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

Submission

Pre-proposals should be emailed by January 23, 2014 to riresearchalliance@riedc.com. The subject line should read PI last name, PI first name, Pre-Proposal (i.e. Smith, Christine, Pre-Proposal). Submissions will receive confirmation of receipt.

Review

The Primary Investigator will be notified in mid-February 2014 as to whether, or not, their team is invited to submit a full proposal following a review for eligibility and suitability to the program's objectives.

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 Page (one page)
- Project Overview (one page)
- Table of Contents (one page)
- Project Description (not to exceed five pages)
- References (as needed)
- Bio sketches (two pages)
- Budget and Justification

Section Content

- 1) **Face Page** 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.**
- 2) **Project Overview** as supplied in the Appendix of the guidelines clearly stating
 - budget summaries (for each individual institution and aggregate)
 - summary of the nature of proposal
 - approved title and narrative description of the proposal suitable for use in the public press.
- 3) **Table of Contents (one page)** listing all sections and pagination.
- 4) **Project Description (not to exceed 5 pages)** Brevity will assist the reviewers and STAC staff deal effectively with proposals. The Project Description should provide a clear statement of the work to be undertaken and must include:
 - objectives for the period of the proposed work and expected significance;

- relation to the present state of knowledge in the field, to work in progress by the PI under other support and to work in progress elsewhere;
 - an outline of the general plan of work, including the broad design of activities to be undertaken, and, where appropriate, provide a clear description of experimental methods and procedures and plans for preservation, documentation, and sharing of data, samples, physical collections, curriculum materials and other related research and education products;
 - 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 one institution alone;
 - how the activity is catalytic in nature and will lead to major new research opportunities;
 - how the activity can contribute towards current or future economic development of the state through technology development and/or commercialization potential or new company/product line development.
- 5) **Reference information (as needed).** Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the Website address also should be identified. Proposers must be especially careful to follow accepted scholarly practices in providing citations for source materials relied upon when preparing any section of the proposal. While there is no established page limitation for the references, this section must include bibliographic citations only and must not be used to provide parenthetical information outside of the five page project description
- 6) **Biographical sketches (two pages).** Biographical information for the principal investigator and co-principal investigator should include professional preparation, appointment, publications and other activities.
- 7) **Budgets** for each participating 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 not to exceed \$75,000.00

Unfunded collaborations with individuals not included in the budget should be described and documented with a letter from each collaborator.

Business information must be supplied if a private sector Co-PI is involved. This information must include exact legal name of business, Federal Tax ID number, NAICS (North American Industry Classification) Code and current organizational structure of business (LP, LLP, S-

Corp...). Private sector Co-PIs must also supply a Certificate of Good Standing from the Rhode Island Secretary of State and affirm they are current with all federal, state and city/town taxes.

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. Only reviewers outside of Rhode Island and not affiliated with any Rhode Island institution may be suggested. Proposers may also designate an individual(s) they wish not to review the proposal and must indicate why.

Submission

Full proposals are due **March 20, 2014** 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 the submission tool with instructions on how to use will be provided to all PI's invited to submit a full proposal.

Applicants will receive a reply email confirming receipt of their 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 1) the importance of the activity to advancing knowledge or understanding within its own field or across different fields; 2) the qualifications of the proposer (individual & team) to conduct the project, 3) the extent that the proposed activity suggests and explores creative and original concepts, and 4) how well the proposed activity is conceived and organized.

For broader impacts the proposal evaluation will consider 1) how well the proposed activity advances discovery and understanding; 2) the degree to which the proposed activity is catalytic in nature; 3) the degree to which the proposed activity has the potential to lead to major research opportunities that can be supported by federal agencies, corporations and/or foundations.

In addition, the proposal evaluation will consider 1) whether the proposal has significant potential to commercialize or license intellectual property, attract and leverage follow-on funding from federal or private sources, develop private sector partnerships or create new ventures or new product lines; 2) the degree to which the combined efforts of the investigators will lead to results that could not be achieved by either on their own; 3) the degree to which the proposed activity will contribute to economic activity in Rhode Island.

Award Notification

Awards will be announced in May, 2014. 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 November 30, 2014 and April 31, 2015 stating the status of the research and any definitive results.

A final report which includes the following will be required no later than June 30, 2015:

- how the research answered the goals stated in the proposal
- a description of next steps for the research
- revised budget with budget justification explaining any changes
- a brief description of planned or applied for follow-on funding

APPENDIX

**Rhode Island Research Alliance Grant Application
RIRA-CA-2-2014
Face Page**

Project Title:

Principal Investigator (PI) Name & Title

Co-PI Name & Title

**Research Institution
Address**

**Research Institution
Address**

**Tel/Fax/Email
Signature**

**Tel/Fax/Email
Signature**

Co-PI Name & Title

Co-PI Name & Title

**Research Institution
Address**

**Research Institution
Address**

**Tel/Fax/Email
Signature**

**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-2-2014
Project Overview**

Project P.I. and Institution:

Project Title*:

Brief Description:

Catalytic Nature of the Project:

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: | |
| 1. Personnel | |
| Professional | |
| Student | |
| 2. Equipment | |
| 3. Supplies/Materials | |
| 4. Travel/Meetings/Other | |
| Subcontract Total | |
| GRAND TOTAL | |

***The title of the project must be brief, scientifically or technically valid, intelligible to a scientifically or technically literate reader. Information on this sheet should be suitable for use in the public press.**