Request for Proposals (RFP)

Oklahoma State University - Center for Health Sciences (OSU-CHS)
and
Oklahoma State University – College of Osteopathic Medicine (OSU-COM)

Office of the Vice President for Research (OVPR)
FY2020 Pilot/Seed Grants to Attract External Funding

DEADLINE: Full proposals must be received no later than 8:00 a.m. on Monday, 6 May 2019. Successful proposals will begin funding on 15 May 2019 in time for summer research at CHS.

On behalf of President Kayse Shrum, the Center for Health Science, and the College of Osteopathic Medicine, it is our privilege to announce the *"Fiscal Year 2020 Pilot/Seed Grants to Attract External Funding"* Request for Proposals. This announcement and RFP are in direct support of goals 1, 2, and 4 of the Oklahoma State University-College of Osteopathic Medicine Research Strategic Plan, 2016-2026, November 2016 titled *"Shaping the Future of Health and Health Care in Oklahoma through Excellence in Biomedical and Clinical Research"*.

- *Goal 1:***Foster a vibrant, innovative research culture** *that unlocks scholarship potential, promotes innovation, encourages collaboration and rewards excellence in research.*

- *Goal 2**: Invest in people** by retaining research-prolific faculty, recruiting new faculty in emerging areas of research, growing post-doctoral programs, establishing physician-scientist recruitment programs and promoting diversity and inclusion.*

- *Goal 4: **Strengthen the support systems** needed to enable the OSU-COM research community (faculty, post-doctoral researchers, residents, and medical students) to obtain the resources and training needed to develop research concepts, to seek internal and external funding, to execute research plans, to track outcomes, to manage grants, and to win recognition.*

This is the second year of OVPR incentive grants. In the first year, there were 19 incentive grants issued for a total of $143,478 invested into research faculty throughout CHS. Of those faculty, 9 submitted 14 successful extramural grants that returned to the Office of Research $2.9 million. The return on investment (ROI) was approximately $20.21 for each dollar invested in research. Moreover, the average grant among the 14 grants was $207,143. Of the 15 faculty who received incentive funding, 9 successfully converted these funds into funded grants for a 60% success rate. Overall, among all 42 active CHS researchers, there were 32 funded in FY19 so far. CHS's total grant portfolio is approximately $79 million as of this date (1 April 19).

The OSU-CHS Office of the Vice President for Research (OVPR) invites mini-grant proposals for faculty research projects that have strong potential to attract external funding. Awards will be made to support preliminary (pilot) studies to best position graduate and clinical faculty for submission of competitive external proposals, as well as for acquisition of data for resubmissions of declined external proposals. Projects may also contribute towards (seeding) the completion and submission of a peer-reviewed publication/manuscript or two, should that activity also enhance the Principal Investigator's (PI – faculty project director) potential and plans to attract external funding. **The critical goal and primary criteria of these pilot/seed grants is to increase the potential to attract external funding.** PIs must demonstrate a clear and logical plan linking the proposed OVPR pilot/seed grant to external funding opportunities and the commitment to pursue those opportunities. PIs who are early career and/or are preparing revised external submissions are particularly encouraged to apply. PIs who have already submitted a proposal and have received positive feedback from the granting agency to resubmit are also highly encouraged to apply. OSU-CHS OVPR pilot/seed grants are contingent upon availability of state funds. In this initial pilot/seed program, we anticipate awarding twenty (20) grants between $2,000 to $10,000. Departmental/ College **matching funding is allowed and encouraged. Using returned F&A to the Department/College would be the most viable way to provide a matching award**.

DEADLINES

Full proposals must be submitted to camlaner@okstate.edu no later than 8:00 a.m. on Monday, 6 May 2019.

Successful proposals will begin funding on 15 May 2019 in time for summer research at CHS.

HOW TO SUBMIT A PROPOSAL: Combine the proposal components, including the budget, into a single PDF. E-mail the PDF as an attachment to camlaner@okstate.edu . The subject line of the email should be: **FY20 OSU-CHS-OVPR Pilot Seed Grants**. Name your file using the following format: Last Name_First Initial_FY19OVPR_Abbreviated Project Name. For example: **Amlaner_C_FY20OVPR_Sleep Diagnostics**. See the Proposal Components section below for instructions on how to prepare a pilot/seed proposal.

ELIGIBILITY: Applicant PIs must be OSU-CHS graduate or clinical faculty, and be current with OVPR reporting requirements from prior awards. CO-PI's may be other tenured, tenure-track faculty collaborators or clinical faculty collaborators, non-tenured, non-tenure-track faculty collaborators, post docs, residents, terminally degreed technicians, and terminally degreed staff.

FUNDING AVAILABILITY: The OVPR anticipates ~$120,000 to fund these projects. PIs may request between $2,000 up to $10,000 from us, but there is no limit to matching funding provided by the hosting department and/or college.

MATCHING FUNDS: Should the PI include matching funds in the grant proposal, arrangements for departmental and/or college matching is the sole responsibility of the PI, and evidence of matching should be provided in the form of a signed, supporting letter by the departmental chairperson and/or relevant college dean listing the amount and cost-center number for the matching fund. There is no specified amount of matching funds required in this RFP. Matching funds can come in the form of student stipends, tuition payments, laboratory and field supplies purchases, equipment repairs, equipment purchases, professional travel, or any other form of funding that supports the goal of this RFP. If the Office of Research (OR) already provided funds for any of the above listed items, these OR sourced funds may not be used for the match.

BUDGET: All budgeted amounts should be in whole dollars. Eligible costs include:

- Technician and/or Post Doc Salary: We understand that almost everyone at OSU-CHS is receiving a 12-month salary. However, in the event there are technicians and/or post docs who are on a nine (9) or ten (10)-month salary basis, one month of summer salary plus fringe may be requested. It is the PI's responsibility to secure permission from their chair/dean for any formal release to do summer research. Summer salary can only be paid in June and/or July if the individual is not already being paid by OSU-CHS through the summer. If your proposed summer salary is approved for funding, you will need to make timely arrangements for summer payroll through your department/college.
- Graduate student support for research in the laboratory or field (not including tuition remission). If proposal is approved for funding, the OVPR will apply for tuition waivers from OSU-CHS to meet enrollment requirements by the OSU Graduate School. Graduate students will be expected to produce a poster paper and/or a spoken paper at the OSU-CHS Research Days Annual Conference relating to their summer research effort. Graduate students may also become co-authors of peer reviewed publications with the PI and CoPI(s) if their research contribution is included in the manuscript.

- COM students between First and Second years of medical training may receive a research stipend of $1000 per month, up to a maximum of 2 months in the summer for supporting research by the PI. COM students will be expected to produce a poster paper and/or a spoken paper at the OSU-CHS Research Days Annual Conference relating to their summer research effort. COM students may also become co-authors of peer reviewed publications with the PI and CoPI(s) if their research contribution is included in the manuscript.
- Laboratory and/or field supplies, software, and research related materials. Laboratory and field equipment that is under $5,000 is considered to be within the supplies category for the purposes of this RFP.
- Publication costs (for peer reviewed, indexed, legitimate journals).
- Equipment (useful life of more than one year and cost of $5,000 or more). If the equipment item is more than $5,000 the department/college must have matching funding to complete the entire purchase of equipment including shipping and setup charges.
- Travel necessary to produce a competitive proposal– you must document how the travel directly benefits the OVPR proposal – in general, conference travel will not be allowed unless the direct benefit to the proposal is sufficiently explained. Travel to a colleague's research laboratory to learn a new technique, leading to a new or resubmitted proposal, is allowed. A graduate student, post doc, or technician may also be sent to learn a new technique that would allow the PI to gain a new skill, and thus an advantage in developing a new or revised grant proposal for submission. All OSU standard travel costs are allowable in this RFP.
- Professional Consultants, including provision of applicable vendor services from Centers and Institutes.
- Incentives for human subjects; costs for animal purchase and/or care.
- Other direct costs normally associated with sponsored projects.
- Departmental/College matching fund commitment to this proposal.
- **Indirect costs are not allowed in this internal grant program.**

Please note: **All expenses must post to OSU's financial system by June 30, 2020;** therefore, all project expenses *other than summer salary* must be in OSU's system by April 15, 2020. **Any expenses that do not follow these guidelines will be charged to the PI's department/college**.

PROPOSAL COMPONENTS: All documents should be **Arial 11-point font, with one-inch margins, single line spacing, with no bullets or numbering**.

1. Cover Page – one page maximum.
   a. The title of the new project;
   b. Name, rank, and title of the PI and each CoPI if they exist;
   c. Date of this proposal submission.
2. **Current or prior internal support** – **one page maximum**.
   a. **Results of Prior OVPR Support** (if applicable) Provide the following information for any prior OVPR Pilot Grant support:

   - Name, rank, and title of the PI and each CoPI if they existed on the prior study;
   - The title of the prior OVPR supported project;
   - A summary of the results of the completed work, including accomplishments;
   - Publications or other products (data, samples, software, etc.) resulting from the grant;
   - Titles of proposals for external funding submitted as a result of the grant; proposals from former or current recipients of OVPRs who have not submitted external proposals are unlikely to be funded.

   b. **Other internal and external support (last 3 years).** List any other internal and external support you have had as an investigator (not necessarily on the proposed project). This could include departmental or college support, matching support from any source, start-up funding by the CHS, department, and/or college, GRAs, tuition waivers, extramural research support from state, federal, and foundation sources. **List any extramural research proposals currently under consideration as 'pending' support.**

3. **Assurances of Compliance** – **one-page maximum** – This page should list all relevant compliance approvals or pending applications for approvals in the following areas:
   a. Human Subjects Research (Project Title, IRB protocol approval #, date or submission date)
   b. Animal Subjects Research (Project Title, IACUC protocol approval #, date or submission date)
   c. Biological Safety (Project Title, IBC protocol approval #, date or submission date)
   d. Other relevant compliance protocol project titles, approval #'s, dates or submission dates

4. **Project Narrative** – **five-pages maximum** – The project narrative should provide a clear statement of the work to be undertaken and should include sufficient background for a knowledgeable general audience to understand the importance of the work. Figures, legends and tables are counted in the 5-page limit. URLs that provide information related to the proposal may be included but will only be read at the discretion of the reviewers.

A. <u>PROJECT DESCRIPTION</u>: This section should include i) sufficient background for a knowledgeable general audience to understand the importance of the work, and ii) a narrative of the plan including descriptions of specific aims/objectives, approaches (methods/procedures), and explanations of the significance of the work and broader impacts.
B. <u>RELATION TO OTHER WORK</u>: Describe i) how the project relates to the PI's long-term research goals, and ii) the relation to other work in progress by the PI under other support (overlap);
C. <u>TIMETABLE</u>: a schedule for research activities, expected results, anticipated publication(s), and anticipated external submission(s).

5. **Targeted External Funding Opportunities** – **one-page maximum** – Include the following information for all targeted proposals:

- Potential – how will results in the proposed research work position you to compete for external funding? Indicate here if you meet the targeted agencies' criteria for early career or new investigator (or equivalent).
- Funding agencies, programs or solicitations and a brief explanation why you are targeting those opportunities. If you have already contacted program officers and/or submitted proposals and received feedback, include this information. **Contacting POs for preliminary feedback on appropriateness of the proposal for the funding mechanism, etc. is *highly* encouraged**.
- List any external research proposals already submitted on the project. Include reviews as an addendum if resubmission is being prepared (this addendum does not count against page limit). A statement of how the reviewers' critiques will be addressed will strengthen your proposal and is appropriate here. If no proposals have been submitted on this project, please list the last two external proposals (if any) you have submitted with outcomes or describe briefly why this project will be a first submission.

6. **References Cited** – **no page limit -** Full and complete reference information should be cited in a format appropriate to the field.

7. **Budget – one-page maximum -** Please use the provided budget template spreadsheet and transfer the finished table (saving as a pdf works) into the final document.

8. **Budget Justification** – **one-page maximum.** Briefly summarize the budget and justify all expenses.

9. **Biosketch(es)** - **One biosketch per PI/co-PI with two-pages maximum.** Please use a biosketch format appropriate to the funding agency or organization to which external proposals will be submitted. Please only list the research and publications that are relevant to the proposed research project.

ACKNOWLEDGEMENTS AND CERTIFICATIONS

If the proposed project is recommended for funding, the PI will be asked to affirm in writing the following statement prior to funding flow:

By submitting a proposal, each PI/co-PI certifies that: (1) the information submitted within the application is true, complete, and accurate to the best of her/his knowledge; (2) any false, fictitious, or fraudulent statements or claims may subject her/him to criminal, civil, or administrative penalties; (3) she/he agrees to accept responsibility for the scientific conduct of the project and to provide the required progress report if a grant is awarded as a result of the application; (4) she/he agrees to accept the obligation to comply with award terms and conditions and University's policies and procedures if an award is made as a result of this application; (5) she/he acknowledges the obligation to assign inventions and patents to OSU that are conceived or developed in connection with the use of OVPR Pilot/Seed grants; and (6) she/he acknowledges the obligation to promptly report and fully disclose the conception and/or reduction to practice of potentially patentable inventions to the OVPR. Such inventions shall be examined by the OVPR to determine rights and equities therein in accordance with the OSU Invention Policy.

OVPR Grants to Attract External Funding

Frequently Asked Questions

Q: Is this opportunity for basic research projects only?
A: No. The RFP refers to "projects that have potential to attract external funding." Projects from all applied and professional disciplines are welcome. However, it is expected that all projects should have a research or scholarly component.
Q: What are the criteria for selection?
A: The primary purpose of these grants is to provide pilot or seed funding for OSU-CHS and OSU-COM faculty projects that can attract external funding (grants, contracts). PIs must demonstrate that they have external funding objectives and present a clear and logical plan linking the proposed OVPR grant to one or more external funding opportunities. Multidisciplinary, translational and transformative aspects are often characteristics for which funding agencies are looking. Appropriateness of the budget is also a factor, including not only reasonableness given the scope of work proposed but also relative to the external funding targeted (e.g. a $5,000 request to pursue a $5,000 grant would be a negative factor in review).
Q: The RFP says to specify which sponsors or programs I intend to target. How do I know which sponsors or programs would be interested in my project? Can I have staff members in the Office of Research conduct funding searches for me?
A: Assisting faculty in finding funding opportunities is a normal function of the Office of Research (OR) and graduate and clinical faculty are encouraged to contact Daniel J. Marangoni (Daniel.J.Marangoni@okstate.edu) for assistance well ahead of deadlines. We strongly recommend using the funding opportunities available through Grants.gov or Funding Institutional (an Elsevier product) located on the Medical Library Research Services website. The Grants.gov website provides opportunities for you to sign up for daily email announcements on new funding released by the federal government for all federal agencies. PI's can choose which particular funding agencies they prefer to receive announcements from on the website.
Q: Can you give me more specific guidance on the budget? Can Office of Research staff prepare my budget for me?
A: OR staff cannot **prepare** your budget for you for this funding opportunity, but they are able to **provide limited guidance** on items like appropriate levels of fringe benefits for technicians, post docs, graduate and clinical students, etc.   Please note the following: - Any combination of allowable budget line items is fine. Each project is different. Ask for what you need and justify it.   - Requests for summer salary must be based on a percentage of time applied to the normal rate of pay for technicians and post docs. One month of time for nine-month employees (the maximum that can be requested) = 1/9 = 11.11% of the normal salary.   - You should use the OVPR budget template included at the end of the RFP as your guide in creating the budget page.   - For post doc, and technical staff time and effort replacement costs, please check with Academic Affairs or your chair or dean for the appropriate amount.   - Estimate any travel based on OSU's normal travel rules.   - Estimate supplies and materials if actual costs are not available.

- Consultant costs includes project advisors paid according to a daily rate, as well as vendors providing services such as payments for testing of samples.
- OVPR reserves the right to adjust or eliminate any proposed budget item costs based upon proposal review recommendations and/or budgetary appropriateness to the RFP.

Focus your attention on the Project Narrative, Research Aims, and anticipated outcomes. If your proposal is selected for funding, we will work with you to assure compliance and appropriateness of the budget before initiation of the project.

Q: Can an application have more than one PI or Co-PI?

A: Yes.

Q: Can I submit more than one proposal?

A: Yes. However, proposals must not be focused on the same research question(s).

Q: Is this opportunity geared toward moving existing projects along or supporting completely new projects?

A: The RFP does not express a preference for new or existing projects. The focus is potential to attract external funding. Early career investigators and resubmissions are criteria only insofar as they affect potential for funding.

Q: Can we submit a proposal that was previously submitted to OVPR or another internal or external funding opportunity?

A: Yes, though you should consider carefully revising if you plan to submit a proposal that was previously declined. Also, you should remember that the focus of this opportunity is your project's potential to attract external funding. If potential for external funding was *not* the focus of the opportunity to which you applied previously, then an identical resubmission will not be very competitive. As with all grants, you should tailor your proposal to the funding opportunity. If the other submission was funded, it must be acknowledged in the proposal.

Q: Can someone in the Office of Research review my proposal and give me feedback?

A: We will try to provide feedback in future RFP's but not this first round because we are all very concerned about meeting the early start deadline of 1 June 2018. The plan for the future, if you would like, is that a brief concept paper or proposal draft would be sent to a knowledgeable person in the OVPR, who, time allowing, would give preliminary feedback. When this service is available, if you wish to take advantage of this, please plan to work well ahead of the deadline.

Q: Can some of the funds be used to pay a full-time staff member (non-faculty) to do some of the work?

A: These internal grants are being made with repurposed state funds from a portion of the OVPR facilities and administration funds (aka, grant overhead, cost recovery, or grant indirect). Please check with HR for OSU's policy on paying staff members.

Q: Can you pay a Center or Institute to do some work for you?

A: Yes, you can pay an existing Center/Institute at OSU and CHS to do some work. Funds will be transferred to the applicable Center/Institute. However, because these are state funds, they must be spent by the end of the fiscal year.

Q: Are letters of support needed? May I include a letter of support if I want to?

A: Letters of support are only needed if there are matching funds included in the budget to help cover grant related expenses in any budget category. The letter of support from the relevant chairperson, dean, or principal investigator of an already existing grant/contract, should be attached to the proposal. The letter should be signed and should include the relevant cost center number from which the matching support will be deducted.

Q: The purchase of equipment is permitted in the budget for this OVPR grant. Does that include a laptop computer?

A: The term "equipment" refers to an item costing $5,000 or more and having a useful life of more than one year. Most laptops would therefore be considered supplies, not equipment. Both supplies and equipment are allowable expenses. In either case, you should explain in the budget justification why you need them to accomplish the proposed work. Generally speaking, we do not want to fund laptops or other items that are not truly necessary to the project and/or should be provided by your department or college. Any computers (desktop or laptop) must be used directly for the proposed research project, such as data input support and analysis.

Q: If I received an FY 19 OVPR grant and have not yet submitted the required final report, am I still eligible to apply for an OVPR grant this year?

A: Yes, if you submit a brief progress report prior to submitting an FY 20 proposal. Please keep in mind that performance on prior OVPR support will weigh heavily in our decision process, i.e. if you proposed to submit external proposals and have not, that is a lack of performance that will be a serious negative factor in evaluating your proposal and will likely result in a recommendation not to fund.

FY2019 OVPR PILOT/SEED GRANT BUDGET WORKSHEET EXAMPLE

1. **Summer Salary:** Enter the name of the faculty member, staff technician, post doc, graduate student or clinical student, and/or temporary employee in column A. Check with Human Resources, Chairperson, or Dean to determine the amount of salary allowed per month and enter into column B for each employee name requested, enter the number of months of salary requested (only 1 or 2 is allowed in this RFP) and enter each into column C. Multiply column B X C and enter total requested amount in column D for each person. Provide details in the budget justification narrative.

2. **Fringe:** The amount will be calculated for all eligible salary lines and entered into column D. **FY19 RATES: 23.24% Faculty; 26.93% Post Doc; 37.88% Staff, 7.96% Temporary; 9.37% Graduate or Clinical Student.**

3. **Supplies & Materials:** Enter the requested amount in column D and provide details in the budget justification narrative.

4. **Equipment:** Enter the requested amount in column D and provide details in the budget justification narrative.

5. **Travel:** Enter the requested amount in column D and provide details in the budget justification narrative.

6. **Consultants:** Enter the requested amount in column D and provide details in the budget justification narrative.

7. **Other Direct Costs:** Enter the requested amount in column D and provide details in the budget justification narrative.

8. **Total Budget:** Add all items (1-7) in column D.

9. **Matching Funds (OPTIONAL):** Enter the name of the Department/College source of matching in column B, cost-center number where the funds exist in column C, and matching fund amount in column D.

COST ELEMENT	SALARY ALLOWED PER MONTH	NUMBER OF MONTHS (1 OR 2)	REQUESTED AMOUNT
Summer Salary Faculty PI			$0
Summer Salary co-PI 1			$0
Summer Salary co-PI 2			$0
Summer Salary co-PI 3			$0
Summer Salary Fringe			$0
Supplies & Materials			$0
Equipment			$0
Travel			$0
Consultants			$0
Other Direct Costs			$0
TOTAL BUDGET			$0
Matching Funds			$0