

Request for Submission of Research Proposals Research & Graduate Education Internal Grants Program

This is an invitation to submit research proposals to the Research & Graduate Education Internal Grants Program (IGP) for fiscal year 2021.

IGP Awards are intended to accomplish the following objectives:

- Increase the competitiveness of researchers in extramural grant programs.
- Enhance and encourage creative and innovative research needed to prepare competitive extramural proposals.
- Encourage the development of intellectual property.
- Promote the creation of faculty teams to develop competitive extramural grant applications by addressing immediate needs.

IGP Grant Competitions and Program Eligibility

Investigators choosing to submit a proposal must select from one of the following tracks:

- New Researcher Incentive Program
- Immediate Needs Program
- Intellectual Property Accelerator Program

Program Eligibility:

- New Researcher Incentive Program or Immediate Needs Program: For these two
 programs, researchers can submit one proposal as PI and serve on one proposal as Co-PI
 during each funding cycle, regardless of the competition.
- <u>Intellectual Property Accelerator Program</u>: For this program, researchers can submit **one** proposal (as PI or Co-PI) during each funding cycle.
- The researcher must have PI status through the OSU Office of Research. For more
 information, please visit the OSU Office of Research Qualifications and Procedures for
 PI Status. Adjunct and Emeritus faculty are not eligible to submit or serve on proposals.
- Researchers with Co-PI status only cannot serve as a Principal Investigator.
- Faculty in the Colleges of Education and Human Ecology, Biological Sciences, Veterinary Medicine and in all other Ohio State academic units may also receive IGP funding provided the investigator initiating the proposal (primary investigator) has an appointment with CFAES or OARDC. The PI will have overall responsibility for the project.
- Those without PI status designated by the Office of Research, and persons outside The
 Ohio State University should be designated as collaborators on projects and should not
 be listed as investigators.

cfaes.osu.edu



- Investigators must have met all reporting requirements from any previous funding received through the former SEEDS program (i.e. no past due reports, including faculty who are advisors on student projects with overdue reports).
- Investigators currently funded through the former SEEDS programs are eligible to submit to the Internal Grants Program, although submitted projects must not be duplicative or extensions of past funded SEEDS projects.

Competition Objectives and Eligibility Requirements

New Researcher Incentive Program (maximum of \$50,000 per award)

- Objective: CFAES recognizes that many new researchers have the interest and ability to
 develop innovative and robust research programs that can generate preliminary data
 needed to secure externally funded sponsored projects. The New Researcher Incentive
 Program aims to fund new, innovative research to generate that preliminary data.
- Eligibility: Principal Investigators (PIs) must be untenured faculty, regular faculty, research faculty, professional practice faculty, research scientists, or postdoctoral researchers in an academic unit or program within CFAES or OARDC. PIs must also have been employed at OSU for less than six years and have PI status approval from the Office of Research. Adjunct or Emeritus faculty are not eligible.

Immediate Needs Program (maximum of \$50,000 per award)

Objective: CFAES recognizes the high potential to address immediate needs areas that are critical to our stakeholders and society. The Immediate Needs program provides funding for areas of new and applied research that directly support CFAES stakeholders and address critical needs. The program will also consider funding projects that provide researchers and teams the resources to learn or develop new techniques or approaches that will position CFAES to better serve stakeholders or make faculty more competitive for future funding opportunities. Preference will be given to projects that identify solutions to problems that can directly and immediately be implemented by producers.

Proposals **must** be submitted by a group (2 or more) of investigators. Investigators may be from the same academic unit, but not the same lab.

• **Eligibility:** All CFAES researchers with Principal Investigator status are eligible to submit a proposal (except adjunct and emeritus faculty).



<u>Intellectual Property Accelerator Program (maximum of \$25,000 per award – one-year projects only)</u>

- Objective: CFAES researchers are at the forefront of research that is instrumental in solving today's most pressing agricultural and environmental challenges. For society to fully benefit from this research, these CFAES-created technologies must be developed into real-world products and applications. The objective of this competition is to address the development gap between early-stage research conducted at OSU and opportunities that are attractive for investment and readily licensable to startups or existing companies. Funds from this competition will be used to develop proof-of-concept work, data collection, and/or prototyping needed to advance technologies to the point that they are either ready to be licensed by a company upon completion of the project or determined to be unfeasible for commercialization. This research and testing can yield essential information that helps a product go from conceptualized to commercialized.
- Eligibility: Before submitting a proposal for this competition, you must submit an
 invention disclosure form to the OSU Corporate Engagement Office through the
 Innovate IP Portal at least 30 days in advance of the proposal deadline. You should work
 with your Licensing Manager to ensure your technology has intellectual property
 protection in time for the submission deadline. Your Licensing Manager within the
 Corporate Engagement Office will be able to help initially assess commercialization
 viability of your technology.

All CFAES researchers with Principal Investigator status are eligible to submit a proposal (except adjunct and emeritus faculty.)

Deadline:

Proposals for Fiscal Year 2021 are due October 14, 2020. All proposals are due by 5:00 p.m. on the deadline date.

Submission Process:

All proposals are to be submitted online through the <u>CFAES-R&GE Internal Grants Submission</u> Portal.

The online submission process automatically closes at 5:00 p.m. on the deadline date. **Proposals submitted after 5:00 p.m. will not be accepted.** Portions of a proposal will not be accepted after the stated deadline. Faxed or emailed submissions are unacceptable and will be automatically disqualified.

Give yourself ample time to submit. You will need to login with your OSU name.# and password.

Upon entering the Grant Portal, the following will be requested:

- Lead Investigator Contact and Department Information
- Co-Investigator Contact and Department Information
- Competition Type
- Project Title
- Anticipated Project Dates (Up to two years in length for New Researcher Incentive and Immediate Needs Programs. Up to one year in length for Intellectual Property Accelerator Program)
- Requested Funding
- Requested Semesters for Graduate Student Tuition and Fees
- Proposal Uploaded as one PDF file you must use the appropriate proposal application template linked below
- Six Expert Reviewers and their Contact Information (at least three must be from outside of OSU)

Proposal Format and Required Content:

All proposals should be set to print on standard 8.5-inch by 11-inch paper. All margins must be at least 1-inch. Type size must be 12-point or larger with no more than six lines per inch, single-spaced. All pages of the proposal except for the cover page should be numbered at the bottom center of the page.

Margins and 12-point type size must be consistent throughout each required section of the proposal. This includes figure and table captions. **Proposals not meeting the formatting guidelines or with missing and/or unaddressed sections will be dismissed from the competition without review.**

All proposal submissions **must** use the appropriate application template. Please download the sample application for your competition at the following links:

- New Researcher Incentive Program <u>Proposal Application Template</u>
- Immediate Needs Program <u>Proposal Application Template</u>
- Intellectual Property Accelerator Program Proposal Application Template

The above application templates detail all section requirements and guidance. Application templates are an extension of the RFP. *Please ensure that you are filling out the correct proposal application for your competition.* Each template provides specific instructions for each competition.

Budget Guidance:

New Researcher Incentive Program or Immediate Needs Program:

Those with Principal Investigator and/or Co-Investigator status cannot charge their wages or fringe benefits to the Internal Grants Program.

Allowable Expenses: Personnel support for students, staff, or post docs. Additional allowable expenses include materials and supplies, domestic travel, publication costs, rental fees, and other expenses. Other expenses should be directly related to the project and clearly defined in the budget narrative.

PIs and/or Co-PIs can include budgeted travel to one domestic conference only. All travel must abide by current University travel restrictions due to COVID-19.

Tuition and fees do not need to be included for students enrolled in CFAES, as they will be paid from separate funds and allocated to the department; however, you must indicate in the budget narrative the number of semesters of tuition and fees for which you are requesting. You will also need to enter the number of semesters into the grant portal.

NOTE: to access the tuition/fee account, the Graduate Student MUST be paid salary and fringe benefits from the grant budget.

Intellectual Property Accelerator Program:

Those with Principal Investigator and/or Co-Investigator status cannot charge their wages or fringe benefits to the Internal Grants Program.

Allowable Expenses: Personnel support for students, staff, or post docs. Tuition is not an eligible expense. Conference travel is not an eligible expense.

List of Potential Reviewers:

To assist the Competition Review Panel in ensuring the equitable review of all proposals, please list the names, affiliations and email addresses of six (6) reviewers who, in your opinion, are qualified to review your proposal. These reviewers should not have a significant conflict of interest. For example, reviewers should not be investigators or authors with any investigators named on this project within the past three years, nor should they be people applying to the same proposal category. Reviewers are contacted via email and asked to submit their comments online via the Grant Portal.

No member of the Competition Review Panel or of your academic unit may be listed as a reviewer. At least **three** of the suggested reviewers must be from outside the Ohio State community.

Note: The submission of the names of six reviewers is **required**. Contact your reviewers prior to submitting your proposal to ensure that they are available, have the time, do not have a conflict and are willing to provide a review within a fairly short period of time. A lack of reviews may adversely influence the rating of your proposal by the panel.

The name and contact information for each reviewer will be entered through the Grants Portal. Please do not include the reviewer names in your PDF application.

Tentative Reviewer Timeline

For proposals due October 14, 2020, reviewers can expect to be contacted the week of November 2, 2020 to request review. They will have until Friday, December 18, 2020 to complete their review.

Proposal Checklist (please see application template for more details):

ltem		Page Limit	Special Instructions
А	Cover Page	1	Cover page format included in application template. Includes a Project Summary, which must be 250 words or less.
В	Project Narrative	8	Include in the project narrative 1) an introduction, 2) a rationale and significance and 3) an approach.
С	References	n/a	
D	Budget	n/a	Provide a separate budget for each individual investigator. See application template for required format.
E	Budget Narrative	2	Provide a detailed summary and justification of all expenses.
F	Stakeholder Support Letters	1 per letter	Required for the Immediate Needs Program only : provide up to four letters of support from relevant stakeholder groups that demonstrate the proposed work represents a critical need.
G	Invention Disclosure	n/a	Required for the Intellectual Property Accelerator Program only: attach a PDF of the invention disclosure submitted to the Technology and Commercialization Office.
Н	Previous SEEDS Funding	2 per award	For each investigator who has received prior SEEDS support within the past five years, supply information on the results from that prior funding. Please see application template for required format.
I	Curriculum Vitae	3 per investigator	Provide a CV for each investigator. Page limits include publications. No CV is requested or required for Collaborators.
J	Current & Pending Support	n/a	Include an updated current and pending research support form for each investigator.
К	Available Funding Sources	1	Required for the Immediate Needs Program only : see application template for more details.
L	List of Reviewers	n/a	Include the names, affiliations and email addresses of six potential reviewers; at least three must be from outside of the university. This will be entered directly into the Grants Portal and should not be a part of your PDF.

^{*}Any additional documents, forms or appendixes not requested in the RFP will be removed and will not be reviewed.



Review, Awards, Post-Award Administration, Intellectual Property & Compliance

Application Review Requirements and Evaluation Criteria

Each application will be evaluated in a three-step process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in this RFP and the application template. **Ineligible, late or incomplete applications will not be reviewed.** Second, to facilitate and enhance the likelihood of successful funding from external sources, subject experts (provided by the applicant) are asked to provide evaluations that will be useful to both the review panel and the project investigators. Reviewers will be asked to rank elements of the proposal from 1-5 (1-Poor, 5-Excellent). In addition, reviewers will be requested to list the proposal's strengths and weaknesses, and to provide an overall assessment of the project. Please see **Appendix A: R&GE Internal Grants Program Review Criteria** for more information. Reviews will be sent to the applicant after the panel concludes its work. Reviewers remain anonymous.

Finally, a review panel comprised of members of the Competition Review Panel will evaluate all properly prepared proposals. Because of the interdisciplinary nature of the Competition Review Panel, it is unlikely that any single panel member is an expert in the field of any given proposal. It is the responsibility of the investigator to write the proposal so that it is understandable even if the research is outside the panel's areas of expertise; therefore, it is highly recommended that the author limit the use of jargon and acronyms.

Each panel member is assigned between 10-15 proposals (depending on the number received and the competition) to review as either a primary, secondary, or tertiary reviewer. During the meeting, the panelists discuss the proposal and reviews and arrive at a consensus ranking. Proposals are placed in one of three categories: "fund," "fund if available," and "do not fund." Only proposals ranked in the first two categories may be considered for funding.

The Competition Review Panel has the option to request an applicant to make an informal presentation on their proposed project via Zoom or other video method. Applicants will be provided 10 days prior notice to prepare. Presentations will be no more than 30 minutes.

Following the evaluation and initial ranking of each proposal, a "panel summary" document is written by a panel member reflecting the panel consensus. It details the salient points of the panel's assessment of the strengths and weaknesses of the proposal. The panel summary also has a section with synthesis comments, describing areas, and potentially providing suggestions, for improvement. The synthesis also provides comments either to encourage or discourage resubmission of an application. During the panel meeting, panelists examine the initial rankings of the proposals and re-rank proposals, as needed, to ensure that they accurately categorize and rank the order the proposals. The review panel will make recommendations for funding to the Associate Dean for Research and Graduate Education.

After the completion of the panel, the Associate Dean for Research and Graduate Education, the Grants and Contracts Administrator, the IGP Committee Chair, and the IGP Coordinator consider the panel ranking to determine funding. Proposals are funded according to the panel ranking until program funds are dispensed.

Following the funding decisions, applicants receive copies of the written reviews of their proposal, the panel summary, and information on the relative ranking of their proposal.

Both internal and external ad-hoc reviewers will be appointed as needed at the discretion of the CFAES Associate Dean for Research and Graduate Education or their designee. Proposals will be evaluated based on innovation, scope of the project objectives, scientific merit, subject expert evaluations, and the Panel's own reviews and discussions.

Grant Awards

Within the limits of available funds, awards will be made to applicants whose proposals are judged most meritorious under the evaluation criteria and procedures defined by the IGP. The Competition Review Panel will recommend to the Associate Dean for Research and Graduate Education the distribution of funds among the funding categories, which proposals should be funded and any conditions that might pertain to the award of funds to each of the selected projects.

IGP funds will be made available within three to six weeks of the date on the award notification. It is expected that projects will be initiated within five months of the award notification.

Although investigators may apply for new grants while one or more other grants are active, the active grant(s) must be completed by the end of the fiscal year prior to new funds being released.

It is the investigator's responsibility to comply with all existing Ohio State policies and guidelines regarding the use of human subjects, animal welfare, conflicts of interest, hazardous materials, etc. In addition, it is the investigator's responsibility to work with Ohio State's Technology Commercialization Office (**tco.osu.edu**) on matters pertaining to intellectual property (see "Intellectual Property" below).

Prior to the grant award being issued, the project team members must ensure that the annual Conflict of Interest Form and the Responsible Research of Conduct Training has been completed.

Post-Award Administration

The IGP Coordinator has the right to adjust proposed budgets and will provide a final, approved budget with the award notice. Grantees will be required to ensure that all funds are expended according to the approved overall budget, but with flexibility within budget categories. Authorization to make changes in approved project plans, budgets or periods of support can be granted only by the IGP Coordinator.

For projects spanning two years, an annual report of progress is required and is due one year following the initiation of the grant project. Year-two funds will not be released until an annual report is received. A final project report is due 30 days after the end date of the project. A 90-day period to bring accounts to a zero balance is allowed. Accounts with remaining funds after the 90-day closeout will be reviewed and funds will be returned and reinvested in the Internal Grants Program.

Reminders along with instructions as to when reports are due will be sent to investigators. Reports are to be filed online at **IGPReporting.cfaes.osu.edu**. Because of the nature of the competitive grants programs and peer-reviewed publications, the IGP Coordinator may contact investigators periodically to inquire about additional funding or publications that may have resulted from the initial study.

The submission of annual and final reports on a timely basis is absolutely critical to our accountability process and directly impacts our capacity to receive future funding for this program. Any investigator with an outstanding annual or final report will be automatically disqualified from all competitions and further funding until reporting obligations are met. Departments of investigators will be held responsible for any expenditure beyond the approved budget. The best policy is to keep track of funding and not overspend. Any funds remaining after the end of the project will be transferred back to the CFAES Finance Office 90 days after the final report has been received.

IGP accounts are subject to review to ensure that appropriate, approved budgeted costs are applied to the project. The PI and Department will cover any unauthorized costs.

Intellectual Property

Ohio State faculty and research scientists working via a grant must submit disclosures of discoveries, inventions, designs, works of authorship (including computer software), mask works and other intellectual property to Ohio State's Technology Commercialization Office (tco.osu.edu).

Questions about intellectual property developed under this program should be directed to Ohio State's Technology Commercialization Office at the website listed above.

Compliance

You are responsible for ensuring the research project complies with all university policies and guidelines on human subjects, animal welfare, conflict of interest, and hazardous materials. If relevant, supply the IGP with copies of IRB, IACUC, or IBC approval.

Acknowledgments

All publications and posters resulting from work done using IGP funding are required to include the following acknowledgment: "Salaries and research support provided by state and federal funds appropriated to The Ohio State University, College of Food, Agricultural, and Environmental Sciences."



Frequently Asked Questions

PROPOSAL PREPARATION

Q. If my proposal is over the page limit, will it be disqualified from the competition?

A. Yes. Proposals exceeding the page limits will be disqualified from the competition.

Q. If I forget to include a form (CV, Current and Pending Support, etc.), will my application be disqualified?

A. Yes. This would be considered an incomplete application and will be disqualified from the competition.

Q. What if I forget to include items in my application? Can I submit those after submitting my application?

A. Items will be accepted up until the deadline date and time. Any items received after the deadline date and time will be disregarded and may result in your submission being disqualified.

Q. What if I do not address a required section of the proposal?

A. The proposal will be disqualified for failing to respond to all required sections in the IGP RFP and Application Template.

Q. How long can the project summary be?

A. The project summary is limited to 250 words. Proposals containing project summaries with more than 250 words will be disqualified from the competition.

Q. Am I responsible for providing subject experts to review my proposal?

A. Yes. The submission of the names of six reviewers is required. Contact your reviewers prior to submitting your proposal to ensure that they are available, have the time, do not have a conflict and are willing to provide a review within a fairly short period of time. A lack of reviews may adversely influence the rating of your proposal by the panel.

No member of the Competition Review Panel or of your academic unit may be listed as a reviewer. At least three of the suggested reviewers must be from outside the Ohio State community.

PROPOSAL DEADLINES

Q. Will my proposal be accepted if I submit it after 5:00 p.m. on the deadline date?

A. No. Proposals received after the deadline date and time will be disqualified from the competition. We encourage you not to wait until 4:59 p.m. to submit your proposal. The system will automatically close at 5:00 p.m. Late proposals will not be accepted.

Q. Can I email my proposal for consideration?

A. No. All proposals must be uploaded to the Grants Portal.

BUDGETING

Q. Can I charge my salary to the grant?

A. No. Faculty/investigator salaries cannot be charged to the IGP.



Q. Does IGP pay indirect costs?

A. No. The IGP does not pay indirect costs.

Q. If I have students enrolled in a college other than CFAES, can their tuition and fees be paid for?

A. No. Tuition and fees for students are only covered for those enrolled in CFAES. You will have to either include tuition in your budget request or find another source of funding.

ELIGIBILITY

Q. If I have a late final report from the former SEEDS program, will my new proposal be funded?

A. No. Any investigator with outstanding annual or final reports will be automatically disqualified from competition until reporting obligations are met. Any project that has not submitted a final report is considered to be active. Proposals may be submitted if an active project has an end date before the end of the fiscal year and the final report has been filed prior to June 1, 2021. If reporting obligations are not met on time, new awards may be forfeited. Additionally, if a P.I. is serving as a faculty advisor to a student with an overdue SEEDS report, the faculty advisor will be ineligible for new SEEDS funding for themselves or for other student projects until the overdue report is filed.

Q. If one of my co-investigators has a past due final report on a former SEEDS project, will my proposal be funded?

A. No. Any investigator with outstanding annual or final reports will be automatically disqualified from competition until reporting obligations are met. Any project that has not submitted a final report is considered to be active. Proposals may be submitted if an active project has an end date before the end of the fiscal year and the final report has been filed prior to June 1, 2021. If reporting obligations are not met on time, new awards may be forfeited.

Q. Do all investigators need to be members of The Ohio State University community?

A. Yes. All investigators listed on the cover page must have investigator or co-investigator status through The Ohio State University, Office of Research. Members from other universities may be listed as collaborators but will not receive direct funding from the IGP.

Q. Are some investigators really collaborators?

A. Those without PI status, adjunct faculty, emeritus status, persons outside The Ohio State University, and faculty members who are taking part in the study as the role of an advisor or a consultant should be named as collaborators. Collaborators should not request funds from IGP projects.

Q. On how many grants can one investigator serve?

• (2) <u>New Researcher Incentive Program or CFAES Immediate Needs Program</u>: For these programs, investigators are eligible to be PI on **one** active project and Co-PI on **one** active project at any given time, regardless of the track.

• (1) <u>Intellectual Property Accelerator Program</u>: For this program, investigators (PIs and Co-PIs) are only eligible to be on **one** active project at any given time.

Q. If this application is recommended for funding but the lead investigator or a co-investigator is already listed on the maximum number of grants, will the proposal be funded?

A. No. If the lead investigator or a co-investigator exceeds the maximum grants allowed, the new funding will not be released and may be forfeited. This would be an ineligible application.

Questions and Contact Information

All questions relating to IGP funding opportunities should be referred to:

Melissa Burant

Internal Grants Program Coordinator Grants & Contracts Specialist Office for Research and Graduate Education 614-292-5748 CFAES-IGP@osu.edu http://go.osu.edu/cfaes-igp



Appendix A: R&GE Internal Grant Program Review Criteria

Please rank each item (1-Poor, 5-Excellent)

NEW RESEARCHER INCENTIVE

- Does the proposal include preliminary supporting data where appropriate, specific objectives, methods and procedures to be used and detail the expected significance of the results?
- Does the description and justification of the impacts of the work and probable end products seem appropriate?
- Is there potential for the proposed research to advance knowledge and understanding within its own field or across different fields?
- Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale and does the plan incorporate a mechanism to assess success?
- Is there a clear and defined strategy for acquiring external funding?
- How qualified is the individual/team to conduct the proposed activities?
- Has the applicant demonstrated there is adequate resources to carry out the proposed activities?
- Do the project objectives provide for an alternative approach in the event of a project pitfall?
- Is the proposal informative, succinct and easy to understand?
- Do the budget costs seem reasonable to achieve the objectives of the proposal?
- Provide an overall score for this proposal.

IMMEDIATE NEEDS

- Does the proposed project demonstrate work that represents a critical need for CFAES, stakeholders and/or society?
- Is evidence of stakeholder support and interest adequately represented?
- Does the proposal include preliminary supporting data where appropriate, specific objectives, methods and procedures to be used and detail the expected significance of the results?
- Does the description and justification of the impacts of the work and probable end products seem appropriate?
- Is there potential for the proposed research to advance knowledge and understanding within its own field or across different fields?
- Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale and does the plan incorporate a mechanism to assess success?
- Is there a clear and defined strategy for acquiring external funding?
- How qualified is the individual/team to conduct the proposed activities?
- Has the applicant demonstrated there is adequate resources to carry out the proposed activities?
- Do the project objectives provide for an alternative approach in the event of a project pitfall?

- Is the proposal informative, succinct and easy to understand?
- Do the budget costs seem reasonable to achieve the objectives of the proposal?
- Provide an overall score for this proposal.

INTELLECTUAL PROPERTY ACCELERATOR

- Does the project generate the proof needed for the technology to be licensed? (Proof is defined as meaningful, measurable, and impactful; milestones are clearly defined and can be completed within 12-months and with resources requested.)
- Does the applicant demonstrate innovation and novelty of the proposed research and/or technology?
- Please rate the following statements in relation to Technology (1=poor, 5=excellent):
 - o Is it innovative?
 - Strength of the Proof of Concept Data
 - Stage of Technical Development
 - Time to Market for Product
 - Competitive Advantage Over Technologies
- Please rank the strength of intellectual property position.
- Value Proposition: clear, robust and compelling; technology is significantly scalable to achieve commercialization objectives.
- Probability that funding will result in significant advances leading to additional extramural funding (from industry, for example) and/or technology transfer.
- Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale?
- Does the project provide a clear, feasible schedule of activities that will lead to the project being completed successfully?
- Do the budget costs seem reasonable to achieve the objectives of the proposal?
- Provide an overall score for this proposal.



Please provide your feedback on strengths, weaknesses, recommended improvements, and
other comments in the boxes below:
Strengths
Weaknesses
Recommended Improvements
Other Feedback/Comments