

# PRELIMINARY PLANNING GRANTS FOR MAJOR INITIATIVES

*Request for Proposals*

DEADLINE DATE: September 28, 2012



**LOUISIANA EXPERIMENTAL PROGRAM TO  
STIMULATE COMPETITIVE RESEARCH (EPSCoR)**

**Sponsored By:  
The National Science Foundation and the  
Louisiana Board of Regents**

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(225) 342-4253

[www.laregents.org](http://www.laregents.org)

Issuance Date: October 5, 2011

## **I. PROGRAM DESCRIPTION**

### **I.A. OVERVIEW**

Louisiana EPSCoR solicits proposals to support the preparation of grant applications to federally-funded large-scale research and/or education programs. Funding for the Preliminary Planning Grants for Major Initiatives program is available under Louisiana's NSF EPSCoR (Experimental Program to Stimulate Competitive Research) award. The program will be administered through the Board's Office of Sponsored Programs and will operate under the guidance of the State's EPSCoR Committee. LA EPSCoR intends to reissue this RFP annually, contingent upon available funds.

### **I.B. OBJECTIVES**

The Preliminary Planning Grants for Major Initiatives Program is designed to provide assistance to teams of researchers who are in the process of developing a proposal (or pre-proposal, if required) to a federal funding agency for a large-scale research and/or education program. Applicants may seek support under this RFP only for the preparation of proposals to federal competitions that meet the following criteria:

- 1) The resulting award will establish a multidisciplinary research and/or education project;
- 2) Total federal funding for the project must be at least \$1 million.

Recipients of Planning Grants must submit a pre-proposal or full proposal to a federal funding agency during the period of the award, generally within one year. The Planning Grant is **not** intended to support research to generate preliminary data.

Out-of-state reviewers will evaluate the proposals and develop funding recommendations. Final funding approval is at the discretion of the Board of Regents.

### **I.C. FINANCIAL CONSIDERATIONS**

It is expected that awards of up to \$10,000 each will be made under this competition, subject to the availability of funds. Funds awarded are to be used for activities in direct support of work required for the development and preparation of a proposal to a federal funding agency, including, but not limited to, such uses as travel associated with proposal development, workshops, etc. Salaries for faculty or post-doctoral researchers are not an allowable expense. Before preparing a proposal, applicants are encouraged to contact the LA EPSCoR office to ensure that sufficient funds are available in the current funding cycle to support a Planning Grant application, should it be recommended for funding.

### **I.D. INDIRECT COST RATE**

Indirect charges are not allowed under this program.

### **I.E. DEADLINE FOR SUBMISSION OF PROPOSALS**

Proposals can be submitted at any time until midnight, September 28, 2012. Proposals must be submitted electronically by the lead institution's authorized representative; the BoR will not accept hard copy submissions. Applicants will be notified of their award status within 45 days of submitting a proposal.

## **II. PROPOSAL SUBMISSION AND FORMAT REQUIREMENTS**

### **II.A. GENERAL REQUIREMENTS**

The applicant is responsible for any misunderstandings that occur because of incorrect proposal assembly and electronic submission to the BoR. As noted above in Section I.E, all proposals must be submitted electronically to the BoR server on or before the announced deadline.

#### **II.A.1. Number of Proposals**

A principal investigator may submit only one proposal in response to this RFP; however, he/she may be a Co-PI on additional proposals. Individuals who are not employed by an eligible Louisiana institution of higher education (e.g., out-of-state scholars, scientists, engineers or employees of industry) may serve as consultants on proposals; they may not be listed as principal or other investigators.

#### **II.A.2. Electronic Submission**

All online submissions must be uploaded as a single PDF document through the LOGAN system.

Instructions for PIs:

1. Go to URL: <https://laregents.org/cgi-bin/logan/home>.
2. Login using your LOGAN credentials.
  - a. If you are new user and do not have a LOGAN login, please click on “New user registration” to register.
  - b. If you have logged into LOGAN before and have forgotten your credentials please send an email to [karthik@la.gov](mailto:karthik@la.gov).
3. After logging in, click on “Preliminary Planning Grants Proposals” and use the provided online form to select and upload the PDF document.
4. If upload is successful, send the proposal to your sponsored programs office by clicking the “Send Proposal to OSP/OSR”. A proposal number will be assigned after the proposal is successfully sent to the PI’s Office of Sponsored Programs/Research.
5. An email confirmation will be sent to the PI with the proposal number.
6. The OSP/OSR will review the proposal, and, if approved, send the proposal to the Board of Regents.

Instructions for the OSP/OSR:

1. Go to URL: <https://laregents.org/cgi-bin/logan/home>.
2. Login using your Institutional credentials.
3. Select “Preliminary Planning Grants Proposals”.
4. Follow simple onscreen instructions to submit the proposal to the Board of Regents, EPSCoR office.

5. An email will be sent to both the PI and the OSP/OSR to confirm successful submission of the proposal.

If **both** the PI and the OSP/OSR do not receive confirmation emails within 12 hours, the proposal was not received. Please contact Karthik Poobalasubramanian by phone at (225) 342-4253 or by email at karthik@la.gov.

### **II.A.3. Format requirements**

The Project Description section must be clear, readily legible, and conform to the following requirements (which are identical to NSF proposal preparation requirements):

- must be formatted to a standard 8-1/2" x 11" page
- all pages are to be numbered consecutively
- Margins, in all directions, must be at least an inch
- No more than 6 lines of text within a vertical space of 1 inch

One of the following typefaces identified below must be used:

- Arial, Courier New, or Palatino Linotype at a font size of 10 points or larger
- Times New Roman at a font size of 11 points or larger
- Computer Modern family of fonts at a font size of 11 points or larger
- In addition to the typefaces identified above, Macintosh users also may use Helvetica and Palatino typefaces

A font size of less than 10 points may be used for mathematical formulas or equations, figure, table or diagram captions and when using a Symbol font to insert Greek letters or special characters. PIs are cautioned, however, that the text must still be readable.

The forms attached to this document should be used as provided and not altered to adhere to these formatting requirements.

## **II.B. PROPOSAL FORMAT**

The proposal must contain the following elements, in the order presented here:

**II.B.1. Cover Sheet** – Use cover sheet provided

**II.B.2. Prospective Reviewers** – Use BoR Form 1001Rev

Applicant must provide the names and complete contact information for at least three prospective reviewers. Reviewers cannot 1) have been a Louisiana faculty member during the previous five years; 2) have collaborated on a publication, funded project, or as a paid consultant with the applicant during the past five years; or 3) have supervised the master's thesis, doctoral candidacy, or post-doctoral work of the applicant.

**II.B.3. Summary** – Use BoR Form 1001S

The summary, written in terms that are understandable to a scientifically or technically literate lay reader, must not exceed 200 words.

#### **II.B.4. Project Description**

The Project Description, not to exceed five (5) pages, including text as well as visual materials, should describe:

- (1) the federal program(s) to which a proposal will be submitted, including the federal agency's dates/timelines for submission;
- (2) the structure of the proposed project and its R&D/S&T/Education mission;
- (3) the proposed activities to be undertaken in preparation of the proposal to the federal funding agency; and
- (4) a timetable and milestones for proposal preparation.

The pages comprising the Project Description should be consecutively numbered.

#### **II.B.5. References Cited**

References Cited are not considered part of the five-page project description.

#### **II.B.6. Biographical Sketches** – Use BoR Form 1001 Bio or NSF form

Biographical Sketches of the Principal Investigator (PI) and Co-PI(s) are required and must not exceed two (2) pages each.

#### **II.B.7. Budget and Budget Narrative** – Use BoR Form 1001B

A Summary Budget covering the 12-month award period is required. A one-page budget justification must be included. Total funds requested cannot exceed \$10,000. EPSCoR funds may not be used for indirect costs. Travel must be reimbursed according to Louisiana travel regulations as stated in PPM 49. Other allowable costs under Louisiana EPSCoR and NSF or other federal funding agency guidelines are acceptable.

#### **II.B.8. Current and Pending Support** – Use BoR Form 1001CP or NSF form

Current and Pending Support for PI and Co-PIs.

#### **II.B.9. Facilities, Equipment, and Other Resources** – Use BoR Form 1001F or NSF form

Not to exceed one (1) page.

#### **II.B.10. Letters of Support**

### **III. POST-AWARD REQUIREMENTS**

Within 30 days of submitting a pre-proposal or full proposal to the federal agency, applicants are required to send the Board of Regents a copy of the proposal. Once funding decisions have been made, applicants are required to notify Jim Gershey at [jim.gershey@la.gov](mailto:jim.gershey@la.gov) of the status of their grant.

To document successes and justify continuing support for the program, participants will be asked to complete a questionnaire approximately one year after the submission of the proposal to assess the success of this program and its investment in terms of

generating positive results. Submission of an application and acceptance of an award commits the individual awardee and awardee's institution to comply with this request. Failure of an awardee to comply with the request will result in declination of future LA EPSCoR awards to that individual until such time the delinquent information is received.

#### **IV. QUESTIONS ABOUT THIS RFP**

Specific questions concerning this RFP and the requirements set forth herein should be directed **in writing** to Mr. Jim Gershey, Executive Director of Special Programs, at [jim.gershey@la.gov](mailto:jim.gershey@la.gov). Questions asked about this RFP and all answers provided in response to those questions will be posted and regularly updated on the Louisiana EPSCoR website at <http://www.laregents.org>.

## COVER SHEET FOR PROPOSAL TO THE BOARD OF REGENTS

FOR CONSIDERATION BY BoR ORGANIZATION UNITS(S) <b>Sponsored Programs – EPSCoR</b>		(FOR BoR USE ONLY) <hr/> <b>BoR PROPOSAL NUMBER</b>	
PROGRAM ANNOUNCEMENT/SOLICITATION NO./CLOSING DATE <b>Preliminary Planning Grants for Major Initiatives</b>			
NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE:		ADDRESS OF ORGANIZATION, INCLUDING ZIP CODE:	
PI/PD DEPARTMENT		PI/PD POSTAL ADDRESS	
TITLE OF PROPOSED PROJECT:			
REQUESTED AMOUNT \$	PROPOSED DURATION 12 months		
FEDERAL AGENCY(S) AND PROGRAM(S) TO WHICH PROPOSAL RESULTING FROM THIS AWARD WILL BE SUBMITTED, INCLUDING TENTATIVE SUBMISSION DATES <b>(REQUIRED)</b> :			
NAMES (TYPED)	Highest Degree/ year attained	Academic Rank/Title	Email Address
PRINCIPAL INVESTIGATOR			
CO-PI			
CO-PI			
CO-PI			

## PROSPECTIVE REVIEWERS (Form 1001Rev)

Identify the general field of your proposal and add as many more specific subfields within that field, as necessary, until you have identified the subfield as narrowly as you can. This information may be used in identifying reviewers for your proposals.

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Provide names, titles, mailing addresses, telephone numbers, and e-mail addresses for at least three out-of-state scholars in the specific field of your proposal who are qualified to evaluate your proposal and/or who can recommend other individuals who are qualified to evaluate your proposal. Great care should be taken to identify prospective reviewers who do not have conflicts of interest with the applicant, as might occur with former research collaborators, students, or major professors.

Reviewers cannot 1) have been a Louisiana faculty member during the previous five years; 2) have collaborated on a publication, funded project, or as a paid consultant with the applicant during the past five years; or 3) have supervised the master's thesis, doctoral candidacy, or post-doctoral work of the applicant.

In addition, although the Board cannot guarantee that certain reviewers will not be used, if the applicant believes certain individuals should not be asked to evaluate the proposal, their names, affiliations, and a brief explanation of the potential conflict must be provided. Attach additional pages as necessary to ensure that all required information is in legible form.

<u>Name/Title (typed)</u>	<u>Mailing Address and Email Address</u>	<u>Telephone #</u>



## **PROJECT SUMMARY (Form 1001S)**

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The Project Summary should include a statement of objectives, methods to be employed, and the significance of the proposed activity to the advancement of knowledge or education. Avoid use of first person to complete this summary. **DO NOT EXCEED ONE PAGE.**

## **BIOGRAPHICAL SKETCH (Form 1001Bio)**

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Provide the following information for the senior personnel on the project. Begin with the Principal Investigator. **DO NOT EXCEED 2 PAGES PER PERSON.** NSF Biographical Sketch can be substituted.

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- A. Vitae, listing professional and academic essentials and mailing address.
- B. List up to 5 publications most closely related to the proposed project and up to 5 other significant publications, including those being printing. Patents, copyrights, or software systems developed may be substituted for publications. Do not include additional lists of publications, invited lectures, etc. Only the list of up to 10 will be used in merit review.
- C. List of persons, other than those cited in the publication list, who have collaborated on a project or a book, article, report or paper within the last 48 months, including collaborators on this proposal. If there are no other collaborators, please indicate that fact.
- D. Names of graduate and post-graduate advisors and advisees.

The information in C. and D. is used to help identify potential conflicts or bias in the selection of reviewers.

## BUDGET (Form 1001B)

PROJECT YEAR:				
ORGANIZATION				
LEAD INVESTIGATOR				
<b>A. SENIOR PERSONNEL:</b> List personnel separately. Indicate number & type of months for each. A.5-6 show total number Other in brackets.				Funds Requested
	CAL.	ACAD.	SUMR.	
1				0
2				
3				
4				
5 [ ] Other Senior Personnel				
6 [ ] Total Senior Personnel				
<b>B. OTHER PERSONNEL (show #s)</b>				
1 [ ] Post Doctoral Assoc.				0
2 [ ] Other Professionals				
3 [ ] Graduate Students				
4 [ ] Undergraduate Students				
5 [ ] Secretarial/Clerical				
6 [ ] Other				
Total Salaries & Wages (A+B)				
<b>C. FRINGE BENEFITS (if charged as direct costs)</b>				
Total Salaries, Wages, & Fringe (A+B+C)				
<b>D. PERMANENT EQUIPMENT</b> (List item & dollar amount for each item exceeding \$5000)				
Total Permanent Equipment				
<b>E. TRAVEL</b>				
1 Domestic (Incl. Canada & U. S. possessions.)				
2 Foreign				
<b>F. PARTICIPANT SUPPORT COSTS</b>				
1 Stipends				
2 Travel				
3 Subsistence				
4 Other				
Total Participant Costs				
<b>G. OTHER DIRECT COSTS</b>				
1 Materials and Supplies				
2 Publication Costs/Pages Charges				
3 Consultant Services				
4 Computer (ADPE) Services				
5 Subcontracts				
6 Other				
Total Other Direct Costs				
<b>H. TOTAL DIRECT COSTS (A thru G)</b>				
<b>I. INDIRECT COSTS (Not Allowed.)</b>				
<b>J. TOTAL DIRECT &amp; INDIRECT COSTS (H + I)</b>				

## CURRENT AND PENDING SUPPORT (Form 1001CP)

The following information MUST be provided for each investigator and other senior personnel. Use additional sheets as necessary.

NAME OF INVESTIGATOR:

<p>Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future</p> <p>Project/Proposal Title:</p> <p>Source of Support:</p> <p>Award Amount (or Annual Rate): \$ _____ Period Covered: _____</p> <p>Location of Activity:</p> <p>Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ</p>
<p>Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future</p> <p>Project/Proposal Title:</p> <p>Source of Support:</p> <p>Award Amount (or Annual Rate): \$ _____ Period Covered: _____</p> <p>Location of Activity:</p> <p>Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ</p>
<p>Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future</p> <p>Project/Proposal Title:</p> <p>Source of Support:</p> <p>Award Amount (or Annual Rate): \$ _____ Period Covered: _____</p> <p>Location of Activity:</p> <p>Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ</p>

## **FACILITIES, EQUIPMENT & OTHER RESOURCES (Form 1001F)**

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**FACILITIES:** Identify the facilities to be used at each performance site listed and, as appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Use "Other" to describe the facilities at any other performance sites listed and at sites for field studies. USE additional pages if necessary.

**Laboratory:**

**Clinical:**

**Animal:**

**Computer:**

**Office:**

**Other:** \_\_\_\_\_

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**MAJOR EQUIPMENT:** List the most important items available for this project and, as appropriate identifying the location and pertinent capabilities of each.

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**OTHER RESOURCES:** Provide any information describing the other resources available for the project. Identify support services such as consultant, secretarial, machine shop, and electronics shop, and the extent to which they will be available for the project. Include an explanation of any consortium/contractual arrangements with other organizations.