

**INFORMATION AND INSTRUCTIONS FOR COMPLETION OF
POTENTIAL CONTRACTS IN THE RESEARCH & DEVELOPMENT PROGRAM
(RCS, ITRS, PoC/P AND ATLAS)
APPROVED FOR FUNDING WITH FY 2019-20 BOARD OF REGENTS SUPPORT FUND
ALLOCATIONS**

R&D CONTRACTS DUE MONDAY, MAY 18, 2020

(Note: Due to changes in BoRSF contract processing requirements, LAICU campuses are no longer subject to a separate, earlier deadline)

A. IMPORTANT NOTICE REGARDING FUNDING STATUS OF APPROVED PROPOSALS

A proposal you submitted for funding consideration under the Board of Regents Support Fund Research & Development Program was approved for funding by the Board of Regents at its meeting of April 22, 2020. Although we have not received final notice from the Treasurer's Office as to the amount of money available for new projects in FY 2019-20, the end of the fiscal year is near, and the staff must begin immediately to solicit required materials for potential contracts for all approved Research & Development (RCS, ITRS, PoC/P, and ATLAS) proposals. This solicitation of materials is not a guarantee of funding. If you prefer not to undertake the work required to execute a potential contract for this project in the absence of final notice from the Treasurer's Office, you should let us know immediately upon receipt of this letter and no later than **Tuesday, April 30, 2020**. In that event, any Support Fund money recommended for this proposal will be awarded in accordance with the Board's general contingencies for awarding monies declined by other applicants.

B. REQUIREMENTS FOR POTENTIAL CONTRACT

Your institution will forward a contract for your review and signature. **Campus and system heads, or their authorized representatives, also must sign the contract.** In addition, each signature must be witnessed by one other individual. Please note that your employing institution's tax identification number must be typed in the space provided under "Section XVII. Payment of Taxes." The "Board of Regents Support Fund, Funding Stipulations, FY 2019-20" page, included with the contract, provides information related to the contract, including: the contract number which will be assigned to your proposal, the title of the proposal, the principal investigator, the principal investigator's employing institution, the total and annual anticipated grant award amounts, and, finally, funding stipulations developed by the final panel of out-of-state experts, which become part of the potential contract.

NOTE ON COVID-19 DISRUPTION: Governor John Bel Edwards issued a proclamation in March 2020 in response to the disruptions in regular business operations caused by COVID-19 permitting State agencies some flexibility in maintaining strict compliance with State contracting requirements. As a result, the Board of Regents will accept electronic and copied signatures on contract documents, including the contract signature page, assurance form, and budget pages. Note that this flexibility is temporary and applicable at this point only to contracting activities during the current disruption.

NOTE TO ALL PRIVATE INSTITUTIONS: A copy of the institution's official Board Resolution, which states the individual or position title authorized to sign on behalf of the institution, is required to fully execute the contract. The individual/title named in the provided resolution must be the signatory on the contract.

Copies of the subject-area and/or mail review(s) of your proposal will be provided in July for your information only. The funding stipulations of the final panel of out-of-state experts supersede any other recommendations or comments.

When you return the signed contract to our office, the following information must also be submitted. All forms referenced herein are attached to this document and may be downloaded in MS Word from the Sponsored Programs website's RFPs, Policies and Forms page (<http://web.laregents.org/downloads/rfps-policies-forms/>).

1. **An assurance that no other funding agencies are currently supporting or have promised to support this, or a very similar, proposal.** This assurance, submitted on the appropriate form (Attachment I), will become Appendix A of the potential contract. In the spaces provided, indicate the contract number, title of the proposal, employing institution, principal investigator's name(s), and current date. The form must be signed in the appropriate place. Please note that, if you are unable to sign the assurance in "A," the bottom portion of the form must be completed and signed. Under the latter contingency, a final decision with respect to whether the proposal will be funded will be made by the Commissioner of Higher Education or designee, acting for the Board, based on the explanation/justification provided in the assurance.
2. **A detailed work plan in outline form, including timeline.** You may be able to use the work plan and timeline included in your original proposal, if all three of the following conditions apply:
 - a. The work plan in your original proposal was complete, in outline form, accurate for the project as currently anticipated, and timeline (beginning around June 1, 2020) accompanied it;
 - b. The work plan and timeline are still valid and no revisions are necessary; and
 - c. No questions were raised and/or no stipulations were made by the final panel of out-of-state experts who reviewed your proposal. (See the funding stipulations page.)

Please note that, regardless of whether you are able to use the work plan and timeline included in your original proposal, you must resubmit these items to us when you return your potential contract. If revisions in the work plan and/or timeline are necessary because the final panel of out-of-state experts raised questions that need to be answered or made stipulations with respect to the funding of the project, then the work plan and/or timeline must be revised in accordance with the recommendations contained on the funding stipulations page. After review and approval by our office of the work plan and timeline which you submit with the signed contract, these items, along with the funding stipulations page, will become part of Appendix B of the contract.

Appendix B, which is referenced within "Section III. Scope of Contract Work" of your potential contract, must include a scope of work in the format shown below, in addition to the specific work plan and project timeline. In accordance with Act 1424 of the 1997 Legislative Session, the Scope of Work must include descriptions of the specific goals and objectives, deliverables, performance measures, monitoring plan, and utility of the final product related to the funded project. These descriptions must be in detail, clearly delineated, and presented as follows:

Scope of Work

- a. **Goals and Objectives:** A statement of the goal(s) of your project.
- b. **Deliverables:** Deliverables are the reports indicated in Section X of the potential contract. Note that reporting for all R&D subprograms, including ATLAS, is now done through the Board's online contract management system, LOGAN, using the account through which the principal investigator submitted the original proposal.
- c. **Performance Measures:** The Performance Measures subsection is your plan for evaluation of your project. As simply and briefly as possible, indicate how you believe Regents' staff or some other entity can determine whether your project has been a success and the degree to which it has achieved its goals.

- d. **Monitoring Plan:** The Monitoring Plan is how the Board of Regents will inspect and evaluate your project and reports as indicated in Section IV and Section X of the potential contract.
- e. **Utility of the Final Product:** A brief Utility of the Final Product statement indicates the value accrued to the State from the results of your product.

For Industrial Ties Research Subprogram (ITRS) potential award recipients only, a long-range commercialization/self-sufficiency activities plan for the research project must be submitted with the contract. While there is no Board-mandated format for this plan, at a minimum it must: (a) begin with the first year in which the principal investigator receives Support Fund money and end no later than two years after the termination date of the contract; (b) describe how the principal investigator plans to achieve self-sufficiency (at least 50% support from industry and the remaining 50% from sources other than the Support Fund) by the end of the activities plan; and (c) include an economic analysis of the end product, as well as an analysis of the growth potential. The commercialization plan will also become a part of Appendix B of the contract.

- 3. **A breakdown of the budget and budget justification page(s) for each year of the project** taking into consideration the funding level and other budgetary stipulations made by the final panel--as well as a composite budget and budget justification, on the proper forms (Attachment II). Note that any reductions to specific budget categories recommended by the final panel may not be reversed, regardless of any ability to reduce the project budget in other categories. You must complete this form for each year of the project, as well as for the composite budget. On each budget page, the contract number, title of the proposal, principal investigator(s), and employing institution must be provided in the spaces indicated. The principal investigator(s) and authorized fiscal agent of the employing institution must sign all budget pages.

The space provided at the top of the budget page after "FY" (fiscal year) must also be completed as follows, depending on the number of years that your project has been recommended for funding:

- a. For one-year projects, only one budget form must be completed. "2019-20 (COMPOSITE BUDGET)" should be filled in the blank after "FY" at the top of the budget form.
- b. For two-year projects, three budget forms must be completed. The blank after "FY" at the top of the budget form for each copy should be completed as follows:
First copy: "2019-20 (FIRST-YEAR BUDGET)"
Second copy: "2020-21 (SECOND-YEAR BUDGET)"
Third copy: "2019-21 (COMPOSITE BUDGET)"
- c. For three-year projects, four budget forms must be completed. The blank after "FY" at the top of the budget form for each copy should be completed as follows
First copy: "2019-20 (FIRST-YEAR BUDGET)"
Second copy: "2020-21 (SECOND-YEAR BUDGET)"
Third copy: "2021-22 (THIRD-YEAR BUDGET)"
Fourth copy: "2019-22 (COMPOSITE BUDGET)"

Note: Even though most of the first year of project work will be conducted in FY 2020-21, the Support Fund money that will be used to support the first year of the project was appropriated in FY 2019-20. This is relevant for subsequent years of the project as well.

In completing the line items on the budget form(s), you must adhere to the funding levels and other budgetary stipulations made by the panel of out-of-state consultants and as listed in Section V of the

contract (“Compensation”). Institutional and other sources of matching funds set forth in the original proposal must also be included on the new budget pages.

Note: Principal Investigator Information Sheets and lists of institutional points of contact are no longer required for Support Fund contracts. PI information is collected in LOGAN upon establishment of the PI’s account, and institutions now maintain up-to-date contact information through their LOGAN accounts.

C. DEADLINE FOR RECEIPT OF SIGNED CONTRACT AND SUPPLEMENTARY INFORMATION

To ensure payment of first-year funds from the FY 2019-20 budget of the Board of Regents Support Fund, it is imperative that the completed potential contract, along with all required supplementary documents listed in this memorandum, arrives in our offices **no later than Monday, May 18, 2020**. Failure to meet the deadline jeopardizes funding for the contract. Additionally, it is critical that all information and supplementary documents required for the potential contract are accurate and complete and that all appropriate campus and system signatures have been obtained at the time the documents are submitted. Despite disruptions caused by COVID-19, contracts must still be fully executed by the close of the fiscal year, June 30, and no extensions to due dates for contract materials are possible.

Since original signatures are not required, campuses are strongly encouraged to transmit signed contracts and related documents to Carrie Robison (carrie.robison@laregents.edu) electronically via email, Dropbox or other document share service. Electronic documents must be transmitted either from a campus official (Sponsored Programs officer or equivalent) or with written permission of an appropriate campus official, to ensure contract documents submitted have been reviewed and approved by the campus. **All signatures external to the Board of Regents, including system signatures, should be included in the transmitted documents. Board staff are not able during this disruption to secure signatures on incomplete contracts.**

If the campus wishes to submit hard copies of contract materials, they may be mailed as follows:

U.S. MAIL (FIRST-CLASS, PRIORITY, EXPRESS)	UPS, FEDERAL EXPRESS, OR OTHER COURIER SERVICE
Carrie Robison, Deputy Commissioner for Sponsored Programs Louisiana Board of Regents P. O. Box 3677 Baton Rouge, LA 70821-3677	Carrie Robison, Deputy Commissioner for Sponsored Programs Louisiana Board of Regents 1201 North Third Street, Suite 6-200 Baton Rouge, LA 70802

Note that the Claiborne Building is currently closed to hand deliveries of documents and verification of receipt of mailed materials may not be immediately available.

If you have any questions about the requirements set forth in this document or about the contract itself, please contact Ms. Zenovia Simmons (zenovia.simmons@laregents.edu), R&D Program Manager (RCS, ITRS, and PoC/P); or Ms. Robison (carrie.robison@laregents.edu) (ATLAS, general questions).

We look forward to working with you in the months ahead and thank you for understanding the time constraints under which we must ask you to operate.

Attachments

- I: Assurance Form
- II: Budget Forms for Each R&D Subprogram (use only the applicable form)

ATTACHMENT I

APPENDIX A

Contract Number: _____ Date: _____

Title of Proposed Project: _____

Institution: _____

Principal Investigator(s): _____

The principal investigator must sign and complete either A or B:

A. Statement of Assurance

I hereby assure the Board of Regents, State of Louisiana, that the project (or a very similar project) proposed above is not currently being funded elsewhere. I have not been promised funding for this project in the near future.

Signature of Principal Investigator: _____

or

B. If you are unable to sign the assurance in "A" above, you must complete the following questions and provide an explanation for why you believe the Board of Regents should/should not fund the above-titled project:

1. Official name(s), address(es), and telephone number(s) of agency(ies), institute(s), etc. currently funding this project or which have promised funding in the near future:
2. Amount of award(s):
3. Contract period(s):
Date award(s) began: _____ Date(s) of termination: _____
4. Explanation of why you believe the Board of Regents should/should not fund the above-titled proposal:
5. Signature of Principal Investigator: _____
6. _____ Approved _____ Disapproved

ATTACHMENT II

BOARD OF REGENTS SUPPORT FUND
RESEARCH AND DEVELOPMENT, **RESEARCH COMPETITIVENESS SUBPROGRAM (RCS)**
BUDGET, *FY_____

Project Year (Circle One) 1 2 3 Composite

Contract Number: _____

Title of Research Proposal: _____

Principal Investigator(s): _____

Institution(s)/Organization(s): _____

	Support Funds Requested	Institutional Match**
A. <u>SALARIES</u>		
1. Research	_____	_____
2. Clerical	_____	_____
3. Subtotal	<u>\$0.00</u>	<u>\$0.00</u>
4. Fringe Benefits	_____	_____
5. Graduate Assistant(s)	_____	_____
6. Student(s)	_____	_____
7. Subtotal A	<u>\$0.00</u>	<u>\$0.00</u>
B. <u>SUPPORTIVE EXPENSES</u>		
1. Travel	_____	_____
2. Supplies	_____	_____
3. Consultants	_____	_____
4. Rentals	_____	_____
5. Printing	_____	_____
6. Equipment	_____	_____
7. Other Expenses (Identify)	_____	_____
8. Subcontracts	_____	_____
9. Subtotal B	<u>\$0.00</u>	<u>\$0.00</u>
C. <u>OVERHEAD</u>		
1. (Not to exceed 25% of Subtotal)	_____	_____
C. <u>TOTAL PROJECT COST</u>		
(Total of A7, B9, & C1)	<u>\$0.00</u>	<u>\$0.00</u>

The justification page for this budget, including a breakdown of all categories, must be attached to this form. Note that all external and institutional support pledged in a proposal must appear in the appropriate place in the budget and explained in the budget justification. **Stipulate whether in-cash or in-kind.

Principal Investigator

Authorized Fiscal Officer

BOARD OF REGENTS SUPPORT FUND
RESEARCH AND DEVELOPMENT, **INDUSTRIAL TIES RESEARCH SUBPROGRAM (ITRS)**
AND PROOF-OF-CONCEPT/PROTOTYPING INITIATIVE (PoC/P)
BUDGET, *FY _____

Project Year (Circle One) 1 2 3 Composite

Contract Number: _____

Title of Research Proposal: _____

Principal Investigator(s): _____

Institution(s)/Organization(s): _____

	<u>Support Funds Requested</u>	<u>Institutional Match**</u>	<u>Other Match**</u>
A. <u>SALARIES</u>	_____	_____	_____
1. Research	_____	_____	_____
2. Clerical	_____	_____	_____
3. Subtotal	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>
4. Fringe Benefits	_____	_____	_____
5. Graduate Assistant(s)	_____	_____	_____
6. Student(s)	_____	_____	_____
7. Subtotal A	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>
B. <u>SUPPORTIVE EXPENSES</u>			
1. Travel	_____	_____	_____
2. Supplies	_____	_____	_____
3. Consultants	_____	_____	_____
4. Rentals	_____	_____	_____
5. Printing	_____	_____	_____
6. Equipment	_____	_____	_____
7. Other Expenses (Identify)	_____	_____	_____
8. Subcontracts	_____	_____	_____
9. Subtotal B	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>
C. <u>OVERHEAD</u>			
1. (Not to exceed 25% of Subtotal A)	_____	_____	_____
C. <u>TOTAL PROJECT COST</u> (Total of A7, B9, & C1)	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>

The justification page for this budget, including a breakdown of all categories, must be attached to this form. Note that all external and institutional support pledged in a proposal must appear in the appropriate place in the budget and explained in the budget justification. **Stipulate whether in-cash or in-kind.

Principal Investigator

Authorized Fiscal Officer

BOARD OF REGENTS SUPPORT FUND
REGENTS AWARDS TO LOUISIANA ARTISTS AND SCHOLARS PROGRAM
BUDGET, FY _____ *

Contract Number: _____

Title of Project: _____

Principal Investigator(s): _____

Institution(s) of Higher Education: _____

I. PROPOSED BUDGET:

	Support Fund Money Requested	Institutional Match	Private Sector/ Other Match
A. <u>Salary Support</u>			
1. Faculty Salary	\$ _____	\$ _____	\$ _____
2. Fringe Benefits (% of A.1)	_____	_____	_____
3. Graduate Asst.	_____	_____	_____
4. Student Asst.	_____	_____	_____
5. Subtotal A	\$ _____	\$ _____	_____
B. <u>Supportive Expenses:</u>			
1. Travel	\$ _____	\$ _____	_____
2. Publishing Costs	_____	_____	_____
3. Other Expenses (Identify)			
a.	_____	_____	_____
b.	_____	_____	_____
4. Subtotal B	\$ _____	\$ _____	_____
C. <u>Overhead:</u>			
1.	\$ <u>NOT PERMITTED</u>	\$ _____	\$ _____
<u>TOTAL PROJECT COST:</u>	\$ _____	\$ _____	\$ _____

Project Director

Authorized Fiscal Officer

* The justification page for this budget, including a breakdown of all categories, must be attached to this form.