



REQUEST FOR PROPOSALS

2018-2019 PILOT AWARDS FOR FACULTY – SMALL BUSINESS PARTNERSHIPS

BASIN RESILIENCE TO EXTREME EVENTS IN THE LAKE CHAMPLAIN BASIN

**Application due by web submission on February 21, 2018 by 4:00 p.m.
Web Submission available on October 16, 2017**

Vermont EPSCoR (Established Program to Stimulate Competitive Research) requests proposals for pilot projects that align with the current VT EPSCoR RII Track-1 grant, Basin Resilience to Extreme Events in the Lake Champlain Basin (BREE).

Program Overview

We seek collaborative proposals from higher education – small business partnerships for research that is complementary to our BREE research. These awards are for innovation; and to move research forward. While undergraduate support is allowed, Pilot Awards are not intended for primarily undergraduate research.

- Applications must be submitted on our application website, accessible beginning October 16, 2017, at <http://www.uvm.edu/EPSCoR/redir/pilot>.
- Web application deadline is February 21, 2018.
- The maximum amount of each Pilot Award is \$10,000.
- Funding may not be used to support master's students' salaries.
- Awards contingent upon NSF funding for Vermont EPSCoR.

Period of Support

The period of support for this round of competition is **May 1, 2018 – April 30, 2019**.

Eligibility Requirements

Higher education institutions and small businesses (under 500 employees) registered in Vermont are eligible to apply. **All Pilot Award proposals must be submitted by a higher education – small business partnership. The partners should choose a lead institution to submit the proposal and designate either a full-time faculty researcher at a Vermont college or university or an appropriate employee (i.e. research scientist or manager) at the small business partner as the Principal Investigator (PI). Letters of support from management at both institutions must be included.**

Funding Obligations

- The lead institution must have a registered DUNS number in the System for Award Management (SAM) at sam.gov prior to submitting your application. If you do not have a DUNS number, please register for one at <http://fedgov.dnb.com/webform>. Dun & Bradstreet can create a DUNS number within one business day.
- Your final financial report will be due to the EPSCoR office within thirty (30) days of the end of your funding period.
- You are expected to complete an electronic final report, complete an annual VT EPSCoR Survey and provide data for our Annual Progress Report through May 31, 2021. All requests will be sent from the EPSCoR office by email.
- Attendance is required at the VT EPSCoR annual meeting, where you should present your work, however preliminary, in a poster or talk as requested through May 31, 2021.
- Award funds will begin by May 1, 2018, contingent upon continued NSF support, and *must* be expended by April 30, 2019.
- Identification of in-kind funding is not required, but is encouraged. Examples of in-kind matching include percent effort, materials, supplies, or space donated by others toward your Pilot Award efforts. For more information, please contact epscor@uvm.edu.
- If awarded, UVM affiliates must comply with University Policies and Procedures <http://www.uvm.edu/policies/?Page=alphalist.php> and have a contractual agreement with UVM if UVM space is utilized for this research.
- Undergraduate students, graduate students, and post-doctoral associates supported by Pilot Award funding must take an approved course in Scientific Integrity as required by the National Science Foundation.

Proposal Content

Proposals should include the following components:

- Title, Technical Abstract (1 page maximum), and brief description of your project in non-technical language (1-2 sentences)
- If your project involves research on human subjects (e.g., work with human tissue, interviews or medical trials with human subjects, and collection or analysis of data and medical records, etc.), live vertebrate animals, or recombinant DNA, then your work must meet federal requirements for review and approval of these regulated activities. Please check details about protocol submission requirements and additional information at <http://www.uvm.edu/rpo/>. If you have any additional questions about regulations regarding work involving human subjects, contact the Research Protections Office at (802) 656-5040.
- List of Suggested Reviewers (Optional). Provide the first name, last name, and contact information for suggested reviewers who you believe are especially well qualified to review this proposal. You may also designate persons you would prefer not review this proposal and indicate why.
- A completed subrecipient form for the lead institution (The University of Vermont, as the fiscal agent for the Pilot Awards, is exempt from this requirement).
- Curriculum Vitae or resumes for key personnel (2 page maximum per person)
- Letters of Support (1 page maximum per letter)
 - Letters of support from Department Chair or Dean of the higher education partner and from Upper Management of the small business partner are mandatory. A letter of support is also required from each potential collaborator who may provide use of facilities or technical expertise.
- Current and Pending Funding (2 page maximum, include the most relevant)
- Research Plan (not to exceed components listed below)
 - A. Specific Aims (1 page maximum)
 - B. Background and Significance (1-2 pages)
 - C. Preliminary Studies and Results (1-2 pages)
 - D. Research Design and Methods (2-3 pages)
 - E. Sustainability Plan for data models created and shared (1-2 pages)
 - F. Literature Cited (extra pages as needed)
 - G. Budget Justification (2 page maximum)
- Budget (online form)
 - Appropriate budget line items MAY include, but are not limited to, graduate student support (excluding master's students' salaries), PI salary, software, equipment, and travel to assist in collaborations. Indirect costs (i.e. University F&A) are not allowed on Pilot awards. See OMB Circular A-122 (<http://goo.gl/6xiDYN>) or the NIH Grants Policy Statement Section 7.9 (<http://goo.gl/TCZJ9T>) for more information on allowable costs.

Evaluation Criteria

A panel of scientists and engineers representing Vermont's business, academic, and government sectors will be selected to evaluate the proposals. Criteria include:

- Intellectual merit of research plan
- Broader impacts of project on education or society
- Synergy with BREE research objectives
- Priority will be given to proposals addressing water quality in Vermont
- Innovation potential, including the potential for future STTR funding
- Appropriate use of budgetary resources

Submission Process

Web-based submissions are the only acceptable form of submission. Beginning **October 16, 2017**, you can access the application, along with the signature page, on the VT EPSCoR website at <http://www.uvm.edu/EPSCoR/redirect/pilot>. You are encouraged to submit early to avoid any potential submission complications.

1. **Web submissions are due February 21, 2018 by 4:00 p.m.**
2. **Signature Page is due by mail or in-person delivery (no FAX), by February 21, 2018 at 4:00 p.m.** Send to:

Vermont EPSCoR
University of Vermont
334 Marsh Life Science Building
109 Carrigan Drive
Burlington, VT 05405.

* Note that signing the cover page will indicate your willingness to publicly share the abstract.

If you do not wish your abstract made public, do not sign the cover page. Any proprietary information will be treated with strict confidence. All results of any supported research will remain the property of the award recipient unless there is an academic collaborator. In the case where an academic collaborator is not acting as an independent consultant paid through the company, or if the faculty member will use University/College facilities, there will need to be a Memorandum of Understanding negotiated with the appropriate institutional grants office (Office of Sponsored Program for UVM faculty). This must be done before any work on the project commences and funding is released.

With respect to any invention developed with EPSCoR support, the award recipient retains title (noting the exception described above). However, certain government use provisions and disclosures will apply due to the federal funding involved. Specifically, recipients will be required to disclose inventions to the University so that the University may make a disclosure to the federal sponsor. While the inventor retains full ownership of his/her intellectual property, the federal government retains the right to a non-exclusive license to practice inventions which result from federal funding. This requirement is rarely invoked and has never occurred in any disclosures from the University of Vermont.

Neither the State of Vermont, Vermont EPSCoR, nor the University of Vermont will make any claim to any product or process developed with this funding with the possible exception of intellectual property developed by an academic collaborator.

Based on the review of the proposals, more detailed documentation may be sought for projects which show promise.

Questions?

Email epscor@uvm.edu or phone (802) 656-7931
Funding provided by NSF OIA-1556770