

Research Incentive Program

Fiscal Year 2011

Request for Proposals (RFP)

- **RFP Release Date – October 5, 2010**
- **Research Incentive Investment Plans Due – October 29, 2010**
- **External Review Panel Evaluations – November 30, 2010**
- **First-Round Awards – December 15, 2010**
- **Responses to External Reviews – January 19, 2011 (as needed)**
- **Second-Round Awards – February 16, 2011 (as needed)**

**Funding Decisions to be Made by the Chancellor of
the Ohio Board of Regents**

**Administered by:
Chancellor of the Ohio Board of Regents
30 East Broad Street, 36th Floor
Columbus, Ohio 43215**

Research Incentive Program

Request for Institutional Planning Proposals

1. Overview

1.1. Introduction

The purpose of the Research Incentive Program is to provide direct support for both the University System of Ohio's Centers of Excellence and the Ohio Third Frontier technology focus areas. This objective is accomplished by strengthening the basic research infrastructure of universities actively involved in Third Frontier projects. Because it is understood that research goes from basic discoveries along a continuum toward commercialization, proposals should indicate where the particular parts of the proposal fall along that continuum. In this regard, proposals should address the Ohio Third Frontier Technology Commercialization Framework and pipeline of grants, specifically the Imagining stage, which includes basic research. Special emphasis should be placed on meeting the research goals of Ohio's ten-year Strategic Plan for Higher Education with particular importance accorded to federally sponsored research and industrially sponsored research.

1.2. Timeline:

- RFP Release Date – October 5, 2010
- Research Incentive Investment Plans Due – October 29, 2010
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2. Research Incentive Program Description

The characteristics of the program are:

2.1. Objectives of the Research Incentive Program

The Research Incentive Program authorization for FY 2011 requires that each recipient university submit to the Chancellor institutional plans for the allocation of Research Incentive funds within the university. Such institutional planning proposals for the use of Research Incentive funds should give the rationale for institutional allocation in terms of the objectives of the program, which are:

- ◆ To enhance the quality of research and scholarship at Ohio's universities;
- ◆ To increase the level of federal and industrial research funding received by Ohio's universities, and;
- ◆ To encourage research efforts that support Centers of Excellence, the Ohio Third Frontier, and economic growth in Ohio through technology commercialization.

2.2. Institutional Eligibility

State universities as defined in Ohio Revised Code Section 3345.011 (the state's public 4 year universities) as well as Northeastern Ohio Universities Colleges of Medicine and Pharmacy, Case Western Reserve University and the University of Dayton, are eligible to apply for Research Incentive funds to be awarded by the Chancellor based upon the recommendations from a rigorous external peer review as organized by the Chancellor's staff. Only one proposal may be submitted by each eligible institution.

2.3. Eligible Subject Areas

Areas of research relevant to University System of Ohio Centers of Excellence as well as the Ohio Third Frontier technology focus areas are eligible to receive funding support through the Research Incentive Program.

2.4. Funding

The Research Incentive Program incorporates total funding to universities of \$8,000,000 in FY 2011, as established by Amended Substitute House Bill 1 of the 128th General Assembly. In addition to the Third Frontier bond proceeds provided for the Research Incentive Program, Ohio Third Frontier guidelines may provide additional sources of capital and operational funds to recipients of Research Incentive funds in the current fiscal year.

2.5. Award Amounts

The Research Incentive award amount for each institution will be based upon the total annual level of research expenditures from federal, industrial, and other sources (*i.e.*, excluding state, local, and institutional sources of research expenditures), as provided by the most current national research data compiled by the National Science Foundation. The preliminary determination of these award amounts will be announced prior to the October 29, 2010 due date for Research Incentive proposals. While the specified allocation will be reserved for each institution, funding will only be awarded if the institution's proposal is approved for funding by the Chancellor following the external review.

The details of the calculation of institutional allocations based on current national research data compiled by the National Science Foundation will retain

the use of the Research Incentive legacy algorithm, which involves the following three components:

- 81% of funding provided as a direct match to all public universities for external funding from federal, industrial, and other sources as defined by the National Science Foundation.
- 9% of funding provided to public universities other than Ohio State University and the University of Cincinnati as an incentive for research collaboration with Ohio industry as well as with other universities.
- 10% of funding provided as a direct match to all private doctoral-degree granting universities for external funding from federal, industrial, and other sources as defined by the National Science Foundation.

2.6. Incentive for Collaboration Funds

A portion of Research Incentive funding (10% of the 90% of funds available for public universities, which is 9% of total Research Incentive funding) is set aside for all public universities, except for The Ohio State University and the University of Cincinnati, as a resource that can be used to facilitate collaboration with other Ohio universities and especially with Ohio industry. These funds may be used to further enhance existing research strengths in fields of mutual interest with Ohio industrial and academic partners in order to increase the effectiveness in competing for external research funding, or to perform basic and/or applied research in areas of economic impact for the region or the state. The institutions which qualify for the Incentive for Collaboration component of the funds must submit a brief description of their plans for the use of these funds to enhance their collaborative efforts as well as how they will measure and evaluate the results in order to qualify for the receipt of these funds.

2.7. Indirect Charges

No indirect charges may be applied to these awards.

3. Research Incentive Program Institutional Planning Proposal

It is the responsibility of the lead applicant to ensure that the Chancellor's staff receives the proposal electronically by the published due date. Late proposals will not be reviewed nor considered further. Lead applicants must ensure that proposals submitted in response to this RFP comply with all the requirements set forth in the RFP, especially the general proposal requirements specified in Section 4 of this RFP.

3.1. Proposal Review

All proposals will be subjected to an administrative review by the Chancellor's staff using the general proposal requirements specified in Section 4 of this RFP.

The administrative review will cover compliance with RFP requirements for meeting the intent of the program and satisfying the evaluation criteria. Proposals found to comply administratively with the RFP requirements and program intent will be recommended for consideration for funding by the Chancellor's Research Incentive External Review Panel, which will make recommendations directly to the Chancellor. Lead applicants will receive written notification if their proposal will not be referred to the external review panel for funding consideration.

Two proposal review cycles are planned, one culminating on or before December 15, 2010, and the other to be completed by February 16, 2011; however, if the quality and number of Research Incentive proposals warrants awarding the entire FY 2011 allotment of \$8,000,000 during the first review cycle, the second round of proposal reviews will be cancelled.

3.2. Award

A grant will be awarded based on the proposal as amended with the inclusion of a revised budget or other amended conditions set forth by the external review panel and/or the Chancellor. The university will be required to enter into a grant agreement that sets forth these terms. The grant will remain open for the duration of the fiscal year plus a three-year reporting period when annual reports are required.

4. Organization of Institutional Planning Proposals

Research Incentive proposals should be organized into the following sections:

- Institutional objectives and goals
 - Provide a brief description of the overall institutional objectives and goals with respect to the expenditure of Research Incentive Program funds and how these objectives and goals relate to the core objectives of the Research Incentive Program as given above.
- Planned Research Incentive expenditures by category or by strategy
 - Identify the research categories and the approximate percentage of Research Incentive funds to be allocated within each category (for example: 40% for university wide competition; 40% for selected colleges or programs; and 20% for selected research centers).
- Descriptions and Rationale
 - Describe each planned expenditure category and provide a rationale for the choice of each one.
 - The description of the award categories should include a brief overview of the selection process or the identification mechanism for each category as well as how the results of this funding will be

measured. The rationale for the choice of categories may include among other things:

- The potential for enhancing an existing university center of excellence to one of national importance.
 - The potential for attracting external support for the projects and/or the potential of addressing state economic growth issues.
 - Development of a new or enhanced research relationship with an industrial partner.
 - Efficiency in the use of funds through shared resources or collaborative research, especially related to collaboration with a Third Frontier Project.
 - Effectiveness in the use of funds through matching fund allocation mechanisms.
 - While institutional cost-share is not a prerequisite for receiving Research Incentive funds, the availability of any ancillary funding sources, such as from participating industrial partners, will strengthen the proposal.
 - If more than 10% of the funds are to be used on a contingency basis, the necessity for such a decision.
- Proposal Budget

The entire institutional Research Incentive Program grant must be invested in research infrastructure that provides direct support for the Centers of Excellence and related Ohio Third Frontier technology focus areas. Research Incentive funds may not be used for administrative costs. A detailed budget justification must be provided for the proposed institutional plan using the dollar figure calculated as given above in section 2.5, "Award Amounts." As a starting point, each university may use its Research Incentive allocation from fiscal year 2010. When the national research data have become available and the resulting exact amount for each university is determined, an email will be sent notifying each university of its funding amount.

5. Proposal Evaluation Criteria and External Panel Review

Subsequent to a successful administrative review of the contents, proposals for Research Incentive awards will be evaluated by the Research Incentive Program External Review Panel, consisting of experts in the disciplinary areas relevant to the Ohio Third Frontier and who live and work outside of the State of Ohio. The evaluation will address the responsiveness of the proposal to the requirements

of this RFP and, specifically, to the evaluation criteria described in the following sections as appropriate to the stated goals of each institutional planning proposal. This panel will be engaged by the Chancellor's staff to review Research Incentive Program proposals and make recommendations directly to the Chancellor. Nominations for service on this panel have been solicited from vice presidents for research and senior research officers who comprise the Research Officers Council and who intend to submit proposals in response to this RFP. The Chancellor's appointments to the Research Incentive Program External Review Panel will be final.

Based on the outcome of the review by the External Review Panel, a recommendation shall be prepared and forwarded to the Chancellor for consideration of funding decisions. The Chancellor shall take into account the evaluations and recommendations made by the External Review Panel and shall exercise independent judgment in making final funding decisions. The funding decisions of the Chancellor are final.

All lead applicants will be notified in writing of the outcome of their applications after final funding decisions have been made by the Chancellor.

5.1. Evaluation Criteria

The evaluation criteria given below will be used to judge a given proposal's potential for excellence and qualification for a Research Incentive Program award. It should be recognized, however, that the appropriate mix of evaluation criteria will vary from institution to institution dependent upon the stated goals of each institutional planning proposal. The members of the External Review Panel will be advised to recognize the wide variations in institutional missions within the eligible universities and, therefore, they will be asked to use discretion in applying these criteria. For this reason, the full set of suggested evaluation criteria are given here without predetermined priority scores:

- The quality of the overall institutional research program that is the subject of the institutional planning proposal and the extent to which additional state resources will enhance its quality;
- The extent to which the proposal is aligned with the strengths of the regional economy and the Ohio Third Frontier;
- The extent to which the proposal is integrated with recognized University System of Ohio Centers of Excellence within the institution and with the statewide focus areas;
- The amount of other institutional, public, or private resources, whether monetary or nonmonetary, that the proposal pledges to leverage;
- The extent to which the proposal is collaborative with other public or nonpublic Ohio institutions of higher education;

- The extent to which the proposal is integrated with the university's mission and does not displace existing resources already committed to the mission;
- The extent to which the proposal facilitates a more efficient utilization of existing faculty and research programs;
- The extent to which the proposal meets a statewide research infrastructural need identified by collaborating Ohio industrial partners;
- The demonstrated research productivity of current faculty members;
- The extent to which the proposal will create additional research capacity in regional or statewide economic areas of need;

6. General Requirements for the Submission of Institutional Proposals

Research Incentive proposals must be submitted electronically prior to the published due date in the following manner:

- Proposals must be submitted simultaneously to the following two email addresses:
 - nsudow@regents.state.oh.us
 - handrist@regents.state.oh.us
- The narrative section of the proposal must not exceed ten (10) pages.
- The total length of the proposal may not exceed twelve (12) pages, including the narrative (maximum of ten pages), plus the cover page and the abstract.
- Margins must not be less than $\frac{3}{4}$ of an inch on all sides.
- Font must be 10 point or larger with no more than 6 lines per inch.
- All pages must be numbered consecutively using the format "Page # of total number of pages" (e.g. Page 2 of 10)
- The name of the proposing institution must appear at the bottom of each page.

6.1. Order and Content of Proposal Sections

- The first page of the proposal must be the completed standardized applicant information form and title page found in Appendix A to this RFP; do not include a cover letter other than the applicant information form and title page in Appendix A.

- Proposal preparer must include an abstract of no more than one page that summarizes the anticipated research outcomes of the project, which is the second page of the proposal.
- The proposal narrative must not exceed ten (10) pages in total length, which does not include the abstract or cover page but does include budget and budget justification sections.
- The entire proposal will consist of the narrative section (a maximum of ten pages) plus the additional cover page and one-page abstract for a total of no more than twelve pages, as described above.
- No non-narrative sections may be appended to the document.

7. Reporting Requirements Subsequent to Receipt of Research Incentive Award

The Research Incentive Program authorization requires that the Chancellor of the Ohio Board of Regents submit a biennial report of progress to the General Assembly. Institutional reports submitted according to the following format will enable the Chancellor's staff to prepare reports to the General Assembly in a timely manner. A university's failure to submit these reports may result in the withholding of current or future Research Incentive allocations.

- **Use of Funds Report:**
 - Summary of Expenditures
 - A list of institutional awards within the local Research Incentive Program with project title, principal investigator, and organizational unit information.
- **Outcomes Report:**
 - Leverage of external funds
 - Selected project summaries and success stories
 - Scholarly outcomes that show Ohio's leadership in a given area of research
 - Educational outcomes that highlight effects of research activity on graduate and/or undergraduate education
 - University-industry collaborations or technology commercialization of university research
 - Findings that indicate economic growth impact of research in Ohio
 - Collaborative efforts that indicate cost-effective use of funds and/or synergy of resources and human capital
 - Strategic initiatives and relation to Centers of Excellence and the Third Frontier

- For those institutions receiving “Incentive for Collaboration” awards, there should be a brief description of the outcomes achieved through the use of the “Incentive for Collaboration” funds

8. Legal

The university agrees to comply with all applicable federal, state, and local laws in the conduct of the work hereunder.

The Chancellor reserves the right to fund any proposal in full or in part, to request additional information to assist in the review process, to require new proposals from interested parties, to reject any or all proposals responding to this RFP, or to re-issue the RFP if it is determined that it is in the best interests of the State of Ohio. Issuing this RFP does not bind the State to making an award. The Chancellor’s staff administers the program. The Chancellor reserves the right to adjust the dates for this RFP for whatever reasons are deemed appropriate. The Chancellor reserves the right to waive any non-substantive infractions made by a university, provided that the university cures such infraction upon the request of the Chancellor.

All costs incurred in preparation of a proposal shall be borne by the university. Proposal preparation costs are not recoverable under an award.

The university understands that the information provided herein is intended solely to assist the university in submittal preparation. To the best of the Chancellor’s knowledge, the information provided is accurate. However, the Chancellor does not warrant such accuracy, and any errors or omissions subsequently determined will not be construed as a basis for invalidating this RFP. Interested parties bear the sole responsibility of obtaining the necessary information to submit a qualifying proposal. The Chancellor retains the right to modify or withdraw this RFP at any time. By submitting a proposal, the university expressly agrees to these terms.

APPENDIX A

Research Incentive Program

Fiscal Year 2011

1. Lead Applicant Institution:

Institution: _____
Street/Building/P.O. Box Number: _____
City: _____ State: OH Zip Code: _____
Email: _____
Telephone Number: _____ Fax: _____

2. Proposal Information:

Title of the Proposal: _____

Academic Department(s) Involved (not required if all departments eligible):

3. Project Budget:

Research Incentive Program Award Amount Requested: _____

Institutional Cost-Share (not required) to be Committed (if needed): _____

4. Collaborating Institutions and Organizations (if appropriate):

5. Institutional Certification and Endorsement:

The signature of the lead applicant institution's vice president for research below certifies that the information contained in this proposal is accurate and, further, that the institution endorses the objectives of the Research Incentive Program by agreeing to make the specific investments and carry out the specific project(s) outlined in the attached proposal.

Vice President for Research: _____

Signature: _____ Date: _____