

**STEPHEN F. AUSTIN STATE UNIVERSITY
RESEARCH DEVELOPMENT PROGRAM GRANTS**

**PROCEDURES
FOR AWARDING RESEARCH DEVELOPMENT PROGRAM GRANTS**

Deadlines for Submission of Proposals

Proposals may be accepted twice a year based on availability of funds. Deadlines will be published by the Office of Research and Sponsored Programs. Awards will be made based on merit and until available funds have been allocated.

The applicant is encouraged to contact the Associate Vice President for Graduate Studies and Research (AVP) or the Office of Research and Sponsored Programs (ORSP) to discuss his/her proposal and the evaluation criteria before the written proposal is submitted.

Award periods may cross fiscal years and multi-year proposals will be considered.

Eligibility and Conditions

Any faculty member of the rank of instructor or higher, research associate, or any professional librarian is eligible to apply for a Research Development Program grant, subject to the following conditions:

1. A Research Development Program proposal must address the purpose of the Research Development Fund (i.e., to increase the research capacity of the University) and therefore proposals which would benefit or address only the research interests of a single individual will not be considered.
2. Except in extraordinary circumstances, an applicant is limited to one faculty research grant award, one minigrant award, or one Research Development Program grant in a single year.
3. Research Development Program grant funds may not be used to supplant funds for research activities or equipment supported by other sources. Research Development Program funds may be used for matching or cost-sharing if full indirect costs allowed by the sponsor are included in the budget submitted to the external sponsor.

Researchers who have access to research funds from other sources are encouraged to exhaust all alternative funding pathways before applying for a Research Development Program grant.

4. In the expenditure of Research Development Program grant funds, a recipient is subject to all local, state, and federal regulations.
5. Any research proposal that would involve the use of human subjects, laboratory animals, or hazardous materials must be accompanied by a memorandum of approval from the chair of the appropriate University committee. These committees are: Institutional Review Board for the Protection of Human Subjects, Institutional Animal Care and Use Committee, Environmental Safety and Health/Radiation Committee, Biosafety Committee, and Public Health Committee.
6. A research grant recipient must meet deadlines for deliverables as outlined in the approved proposal. Periodic reports are expected and are to be filed with ORSP. The final report must include a 200-word abstract of the result of the award and a statement of the increased research capacity that has resulted from the award.
7. Any publication resulting from a Research Development Program grant shall acknowledge the source of funds as a Stephen F. Austin State University Research Development Program grant. Copies of the publication shall be filed with the Office of Research and Sponsored Programs and with the Steen Library.

8. Each recipient of a Research Development Program grant is subject to the provisions of, and shall be responsible for adherence to, the University policy on Intellectual Property (Policy D-20), which applies to ". . . intellectual property of all types (including any invention, discovery, trade secret, technology, scientific or technological development, computer software, conception, design, creation or other form of expression of an idea) regardless of whether subject to protection under patent, trademark, or copyright laws or common law."

In addition, each recipient is responsible for securing and disposing of all other legal claims, such as copyrights, to any publication or other original creation made or conceived in the course of research or other activity supported by a Research Development Program grant.

Criteria for Evaluating Research Development Program Grant Proposals

The Associate Vice President for Research and Dean of Graduate Studies (AVP), with input from an advisory committee, will evaluate Research Development Program grant proposals based upon the criteria below, established by the AVP and approved by the University Research Council. For proposals that request \$50,000 or more in Research Development Program funds, the AVP will make recommendations for funding to the Provost and Vice President for Academic Affairs.

The proposal will be evaluated using the following criteria:

1. Research Significance of the Proposal

- a. The proposed project should enhance the research capacity of one or more departments and/or colleges and increase the University's ability to conduct more research in the area of interest.
- b. The proposed project should result in clearly defined deliverables consistent with the purpose of the Research Development Fund.
- c. The proposal should demonstrate how, once the project is completed, similar research projects in the same discipline can follow, including obtaining grant money from outside sources for further research.
- d. Evidence of the significance of the proposal may be shown by collaborations with colleagues, industry, other research or educational institutions, and/or matching from other funding sources.

2. Formulation of the Proposal

- a. The applicant should request an adequate budget for the proposed research.
- b. The written proposal should follow the prescribed format as described in this document.
- c. The proposal's research objectives should be clear, concise, and understandable.
- d. Proposals that request equipment for research should: i) describe specific research activities to be conducted with the instrumentation; ii) provide a technical description of the requested instrumentation, including manufacturer and model number; iii) justify the necessity and adequacy of the new instrumentation for the proposed research project(s), with reference to existing instruments; iv) specify how and by whom the requested instrumentation will be operated over the project period, including the technical expertise needed to maintain and operate the instrument with anticipated costs; and v) describe the facility in which the instrument will be housed.
- e. The applicant must demonstrate knowledge of research within the proposed area by discussing the findings of others who have made significant contributions in the area and cite any relevant literature.

- f. The proposal should clearly describe the proposed research procedures. The applicant should indicate that other professionals within the field will find the procedures acceptable.
- g. The proposal should clearly establish an adequate work schedule for the proposed project. A timeline and clearly defined deliverables must be outlined.

3. Feasibility of the Proposal

- a. Preliminary data if available and clearly defined objectives should demonstrate the likelihood of success of the proposed research.
- b. The applicant should be able to:
 - i. conduct the project within the proposed time period;
 - ii. complete the project with the funding requested; and
 - iii. complete the project with the available physical resources.

4. Applicant's Research Record

- a. The applicant's previous success in creative and scholarly activities should be presented clearly in the proposal.
- b. The applicant should list any previous research projects supported by a faculty research grant and/or external grant funds in the vita along with any presentations and publications resulting from previous internal or external funding.
- c. The applicant should emphasize his/her ability to successfully complete the proposal.

Instructions for Preparing a Research Development Program Grant Proposal

Research Development Program grant applicants are encouraged to seek advice from the Associate Vice President for Graduate Studies and Research or from the Office of Research and Sponsored Programs in preparing a proposal.

A proposal must be prepared according to the following instructions.

1. Type or word-process the proposal on 8½ x 11-inch white paper. Submitted proposals must be clear and legible.
2. Place the proposal sections in the following order: **cover page, line item budget justification, abstract, narrative** (including objectives, literature review, project justification, procedures and work schedule), **bibliography/references, appendices** (if any), and **vita for each investigator**.
3. The **line item budget justification** does not have a page limit and may be single- or double-spaced.
4. The **abstract**, which precedes the narrative section, is a brief yet thorough explanation of the proposed project. The abstract should not exceed 200 words.
5. Page numbering should begin with the **narrative** section. Pages should be numbered at the top right or bottom center of each page.

6. The **narrative** section **must be double-spaced, with 1-inch margins on all sides, with no more than 15 characters per inch. The proposal narrative is limited to 10 or fewer double-spaced, one-sided pages.** The narrative does **not** include cover page, line item budget justification, abstract, bibliography/references, appendices, and vita.
7. A **work schedule (timeline)** must be included in the narrative section of the proposal and must include the dates when clearly defined deliverables are anticipated. The work schedule may be single-spaced, with double spacing between the dates. See examples at the end of this section.
8. **Line item budget justification, bibliography/references, appendices, and vita** may be single-spaced. However, vitae must also adhere to the 1-inch margin requirement and have *no more than 15 characters per inch. The vita is limited to 2 one-sided pages.*
9. Compile the pages into three (3) complete sets, including all attachments, and staple each set in the upper left-hand corner. Please use no other bindings, folders, or covers. Submit three proposals (one with original signatures) to ORSP. Please note that the original and the photocopies of your proposal must be prepared at individual or departmental expense.

Sample Timeline for Deliverables – Sept 1 – Aug 31

December 1, 2005	Completion of initial DNA sequencing
December 15, 2005	Quarterly Report #1
March 15, 2006	Quarterly Report #2
May 31, 2006	Proof of Concept Proposal
June 15, 2006	Quarterly Report #3
September 15, 2006	Final Report

Sample Work Schedule I

2005-06 Activities	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Hire Graduate Assistant/Secure new measuring equipment	■											
Contact School District to schedule sampling times	■	■										
Secure protocol agreement forms					■							
Conduct sampling					■			■				
Data Analysis											■	■

Sample Work Schedule II

February 2006	Prepare and photocopy questionnaire Mail questionnaire
April 2006	Follow-up on non-respondents
June - July 2006	Enter responses for analysis
July - August 2006	Analyze data
September 2006	Prepare articles Submit final report Present at NCDC regional meeting Present at MUMBR national meeting

Cover Page and Budget Justification Instructions

The cover page is appended or you may obtain the cover page from ORSP or from ORSP's Web site: <http://www.sfasu.edu/orsp/Internal/rdp.html>. If you have any questions, please call extension 6606.

Proposal Title: Enter the title of your Research Development Program proposal.

Applicant Name: Enter the name of the investigator in the first column. Enter the name of the co-investigator, if applicable, in the second column.

Department: Enter the name of the academic department or office of the investigator in the first column. Enter the academic department or office of the co-investigator, if applicable, in the second column.

Project Period: Enter the proposed start and end dates.

Budget Summary

Indicate the amount requested from the Research Development Program in each category, as well as the amounts contributed by departments, colleges, and other sources.

Investigator's Salary: Explain your request in the line item budget justification.

Graduate Assistant: Enter the amount of your request for a graduate assistant, if any. In your line item budget justification, indicate the number of months and percent time the graduate assistant will devote to the project (or the number of hours and rate of pay, if you plan to pay the student by the hour). The amount you request should be consistent with the assistantship amounts for other students in your department and should reflect the amount of time the graduate student is actually needed for the project. Also, outline the assistant's responsibilities in the budget justification.

Student Assistant: Enter the amount of your request for an undergraduate student assistant, if any. In your line item budget justification, indicate the number of hours the student(s) will devote and the rate of pay. You must pay at least minimum wage (\$5.15/hour). The pay rate you request should be reasonable in relation to the level of work the student will be performing. Significantly higher rates will require justification prior to posting the position through Student Employment. Outline the student's responsibilities in the budget justification.

Other Salaries: Enter the amount of your request for non-student salaries (e.g., research technician), if any, to be paid through your project. In your line item budget justification, indicate the number of hours and rate of pay. Explain your request in the justification.

Operating Supplies: Enter the amount of your request for operating supplies, if any. Operating supplies include costs for photocopies, postage, long distance calls, lab supplies, and microfilm. Remember to include an estimate of shipping and handling costs for supplies you would have to order.

****Travel:** Travel is not an allowable expenditure under this program.

****Consulting/Contractual:** Many purchased or contracted services are not allowable expenditures under this program. For example, you cannot contract for an individual or company to collect data for you; however, you can purchase data that already has been collected. If you are not sure if your activity is allowable, please contact ORSP.

Equipment and Purchases > \$500: Enter the total amount of items costing more than \$500 each as well as any shipping and handling costs. Explain in the line item budget justification what each item is, its cost, and why the item is necessary for your project. Please include documentation of cost estimates (manufacturer quote, product details from Web site, etc.). You might want to review SFA's procurement guidelines located at:<http://www.sfasu.edu/purchasing/purchasing/PurchasingManual.pdf>. **Other:** Enter the total amount for all other costs you are requesting through the grant, if any. Explain in the line item budget justification what you are requesting, the cost, and the purpose of your request.

**Most computer equipment cannot be purchased with RDP funds, although software and hardware upgrades are permissible if they are required to effectively conduct the proposed research activity.

TOTAL: Ensure the line items in the Budget Summary section equal your total.

Signatures: Sign and date the cover page. If the proposal has an investigator and a co-investigator, both persons must sign and date the cover page. The chair and dean for investigator and co-investigator must also sign the cover page. Contributors should also sign to affirm their commitment of funds to the proposal.

Research Development Program (A-65)

Original Implementation: January 19, 2006

Last Revision: None

Research Development Program funds are intended to provide funding to promote increased research capacity at eligible general academic teaching institutions (Texas Education Code, Chapter 62).

The Research Development Program at Stephen F. Austin State University provides support for building research capacity, collaborative research, and/or activities that will increase competitiveness in the acquisition of external funds for research.

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For information on application procedures, program guidelines, submission deadlines, methods and criteria for evaluating research development proposals, contact the Office of Research and Sponsored Programs.

Source of Authority: Texas Education Code, Ch. 62, Subchapter E; Provost and Vice President for Academic Affairs

Cross Reference: University Policy D-20, Intellectual Property; University Policy A-62, Human Research Subjects Protection; Research Development Fund Proposal Guidelines

Contact for Revision: Associate Vice President for Graduate Studies and Research

Forms: Application cover page