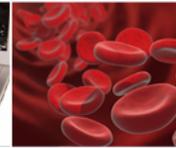# Historically Black Colleges and Universities Undergraduate Program (HBCU-UP)

Research Initiation Awards
QEM MRI and RIA Workshop
August 14, 2015

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Program Officer

Division of Human Resource Development
Directorate for Education and Human Resources
**National Science Foundation**

Historically Black Colleges and Universities-Undergraduate Program

The Historically Black Colleges and Universities Undergraduate Program (HBCU-UP) is committed to enhancing the quality of undergraduate science, technology, engineering, and mathematics education and research at Historically Black Colleges and Universities (HBCUs) as a means to broaden participation in the Nation's STEM workforce.
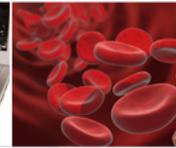
HBCU-UP Program Solicitation

The HBCU-UP program solicitation,

NSF 15-552, is available at:

http://www.nsf.gov/publications/pub_summ.jsp?WT.z_pims_id=5481&ods_key=nsf15552
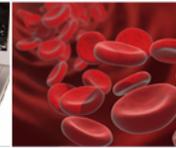

The Proposal and Award Policies and Procedures Guide, which contains the Grant Proposal Guide, is available at:

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg

This guide gives you step by step instructions on proposal preparation in Chapter II.
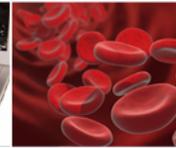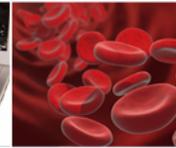
Research Initiation Awards

Research Initiation Awards provide support for a STEM faculty member at the HBCU to pursue research at the home institution, at an NSF-funded Center, at a research intensive institution or at a national laboratory. The project should help to further the faculty member's research capability and effectiveness, to improve research and teaching at his or her home institution, and to involve undergraduate students in research experiences.

Research Initiation Awards (RIA)

- **Principal Investigator- Faculty member in a STEM discipline at the HBCU**

- **Co-Principal Investigators and senior personnel are <u>not permitted</u>.**

- **Eligibility:**
  - **Junior faculty** who are starting to build a research program
  - **Mid-career faculty** who may have returned to the faculty ranks after holding an administrative post or who for some other reason need to redirect and rebuild a research program.

- **Faculty members who hold an active research award are not eligible for the Research Initiation Award.**
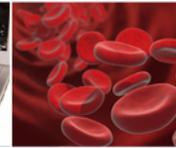
Research Initiation Awards

The following areas of research are ineligible for NSF support:

Clinical, counseling, business administration or management, social work, education (except in science and engineering education), or history (except in history of science) areas are not supported. Clinical study that is ineligible includes patient-oriented research, epidemiological and behavioral studies, outcomes research and health services research. For example, clinical study that is ineligible includes investigations to provide evidence leading to a scientific basis for consideration of a change in health policy or standard of care, and includes pharmacologic, non-pharmacologic, and behavioral interventions for disease prevention, prophylaxis, diagnosis, or therapy. Community and other population-based intervention trials are also ineligible.
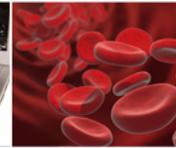
Research Initiation Awards

The following areas of research are ineligible for NSF support:

Research with disease-related goals, including work on the etiology, diagnosis or treatment of physical or mental disease, abnormality, or malfunction in human beings is normally not supported. Animal models of such conditions or the development or testing of drugs or other procedures for their treatment also are not eligible for support. However, research in bioengineering, with diagnosis or treatment-related goals, that applies engineering principles to problems in biology and medicine while advancing engineering knowledge is eligible for support. Bioengineering research to aid persons with disabilities also is eligible.
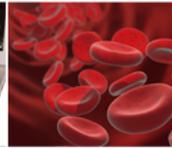
Research Initiation Awards

- Number of awards: up to 20 FY 2016

- Project Length: Up to three years

- Award Size: Up to $300,000

- Restrictions: Equipment cost may not exceed 20% of the total budget

- The Principal Investigator for a Research Initiation Award should be a faculty member in a STEM area at the HBCU. Co-Principal Investigators and senior personnel are not permitted.

Research Initiation Awards

Due date: October 7, 2015
5 pm proposer's time

This due date is not negotiable and will not be extended.

Research Initiation Awards

In addition to following the general format for research proposals as described in the GPG, Research Initiation Award (RIA) proposals submitted must also adhere to the following special instructions:

RIAs are research proposals for individual PIs. While undergraduate students are involved in the project, these awards are not for curriculum or course development, establishment of student programs, or establishment of new degree programs. If you are interested in those activities, please see the Targeted Infusion Projects track.
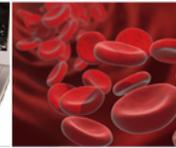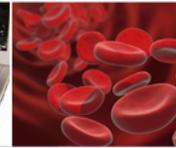
Research Initiation Awards

It is the responsibility of the PI to find a research collaborator at the home institution; an NSF funded research center, such as a Center for Research Excellence in Science and Technology, Engineering Research Center, Materials Research Science and Engineering Center, Physics Frontier Center, Science and Technology Center, Science of Learning Center; at another research center, at a national laboratory; or with a research group at a research university.

Research Initiation Awards

- The PI should plan to conduct research during the summer months at the research collaborator's site or another appropriate research site, and make arrangements for continuing the research during the academic year at his or her home institution.

- Support can be provided for release time during the academic year, summer salary for the PI, travel and housing at the research site for the PI and undergraduate students, travel to conferences, and stipends for undergraduate student research experiences. Details about preparing the budget will be discussed in part II of the webinar.
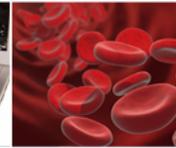
NSF PROPOSAL CONTENT

- Cover Sheet and Certifications
- New certification regarding organizational support
- Project Summary
  - Both intellectual merit and broader impacts described
- Table of Contents (Automatic)
- Project Description
- References Cited
- Biographical Sketches
- Budgets and Budget Justification
- Current and Pending Support
- Facilities, Equipment and Other resources
- Special Information/Supplementary Documents
  - Postdoctoral Mentoring Plan and/or Undergraduate Student Mentoring Plan (if needed)
  - Data Management Plan
  - Letters of Support and Quotes for Equipment
  - Program specific documents (described later)
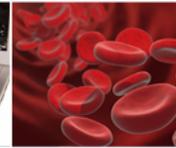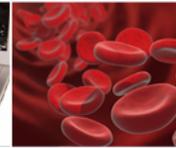
Proposal Preparation Instructions

COVER SHEET

Please begin the project title with "Research Initiation Award:"

Be sure to check all boxes that apply. Each box refers you to a section in the GPG, if you have questions.

PROJECT SUMMARY

Each proposal must contain a summary of the proposed project not more than one page in length. The Project Summary consists of an overview, a statement on the intellectual merit of the proposed activity, and a statement on the broader impacts of the proposed activity.

Proposal Preparation Instructions

The overview includes a description of the activity that would result if the proposal were funded and a statement of objectives and methods to be employed.

Proposals will be returned, without review, if they do not address both NSF merit selection review criteria explicitly in separate statements in the project summary.

- **The Intellectual Merit** criterion encompasses the potential to advance knowledge; and
- **The Broader Impacts** criterion encompasses the potential to benefit society and contribute to the achievement of specific, desired societal outcomes.
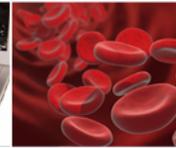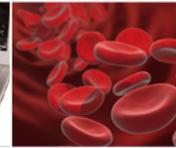
Merit Review Criteria

Both criteria, Intellectual Merit and Broader Impact , will be given full consideration during the merit review and decision-making process. Each criterion is necessary but neither, by itself, is sufficient. Proposers must fully address both criteria.

The following elements should be considered in the proposal's review for both criteria:

What is the potential for the proposed activity to
- advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
- benefit society or advance desired societal outcomes (Broader Impacts)?

NSF Merit Review Criteria, Cont'd

➢ To what extent do the proposed activities suggest and explore creative, original, or potentially transformative concepts?

➢ Is the plan for carrying out the proposed activities well-reasoned, well-organized, and based on a sound rationale? Does the plan incorporate a mechanism to assess success?

➢ How well qualified is the individual, team, or institution to conduct the proposed activities?

➢ Are there adequate resources available to the PI (either at the home institution or through collaborations) to carry out the proposed activities?
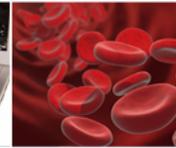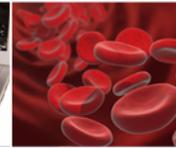
Proposal Preparation Instructions

PROJECT DESCRIPTION

The PROJECT DESCRIPTION for NSF proposals must contain, as a separate section within the narrative, a discussion of the **broader impacts** of the proposed activities. This should **not** be merely a repeat of the broader impacts statement from the project summary .

In addition, where applicable, Intellectual Merit and Broader Impact activities **must** be described in two separate sections in the summary of Results from Prior NSF Support.

Proposal Preparation Instructions

PROJECT DESCRIPTION

The Project Description should provide a clear statement of the work to be undertaken and must include: objectives for the period of the proposed work and expected significance; relation to longer-term goals of the PI's project; and relation to the present state of knowledge in the field, to work in progress by the PI under other support and/or to work in progress elsewhere. The Project Description should outline the general plan of work, including the broad design of activities to be undertaken, and, where appropriate, provide a clear description of experimental methods and procedures.
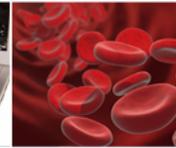
Proposal Preparation Instructions

PROJECT DESCRIPTION

Proposers should address what they want to do, why they want to do it, how they plan to do it, how they will know if they succeed, and what benefits could accrue if the project is successful. The project activities may be based on previously established and/or innovative methods and approaches, but in either case must be well justified. These issues apply to both the technical aspects of the proposal and the way in which the project may make broader contributions.
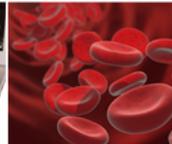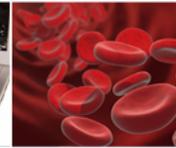
The Research Initiation Award proposal should include:

✓ A brief description of your overall research and education goals.

✓ A detailed description of the proposed research activities including any preliminary data already available and a description of data that the PI plans to obtain.

The Research Initiation Award proposal should include:

✓ The relationship of the proposed activities to your projected longer term research goals.

✓ A discussion of how those activities will benefit the research capacity at the institution.

➢ A discussion of how undergraduate students will be involved in this research.

➢ A plan for dissemination of this research.

➢ A discussion of how the activity will be assessed.
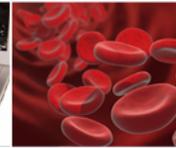
Proposal Preparation Instructions

BUDGET

Support can be provided for release time during the academic year, summer salary for the PI, travel and housing at the research site for the PI and undergraduate students, travel to conferences, and stipends for undergraduate student research experiences.

If graduate students are listed in the budget, be sure to describe their involvement in the project in the project description. The same would be true if a post doctoral fellow is involved.
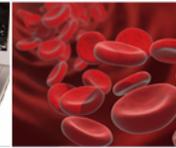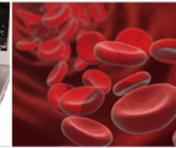
Proposal Preparation Instructions

BUDGET

- Equipment cost may not exceed 20% of the total budget. Quotes for equipment must be included.

- All proposals should budget for the PI to attend a one to two day meeting of HRD grantees in the Washington, DC area.

- Follow the GPG closely when preparing the budget, especially where participant support is involved.

- Consult with your SRO on indirect cost rate – what categories it applies to, what the university's negotiated rate is etc.
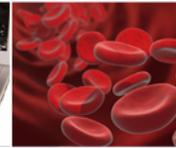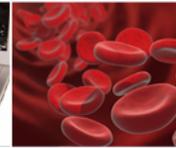
Proposal Preparation Instructions

BUDGET

- Clearly state that you used the university's negotiated IDC rate and state clearly what categories the rate is applied to and what the percentage is in each category,

- Include detailed budget justification.

- Voluntary cost-sharing is not allowed.

- Have your SRO review your budget carefully.
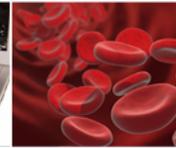
Proposal Preparation Instructions

Equipment and supplies (if applicable):

- Please explain (in the project description) how recurring costs, such as lab supplies, will be supported after the project ends.

- Quotes or estimates for major equipment purchases (any item over $5000) should be included in the supplementary documents section.

- Please explain (in the project description) how long-term maintenance of new equipment will be supported after the project ends.

Proposal Preparation Instructions

- REFERENCES CITED - Provide the references cited in the proposal. Follow GPG Guidelines. Be sure your references reflect the most current state of the research in your field and you are citing them properly in the proposal.

- BIOGRAPHICAL SKETCHES - Outline the experiences of the PI (two-page limit) using the GPG guidelines. If you wish, you can include the CV of the collaborator.

- CURRENT AND PENDING SUPPORT- Use the format provided in FastLane . Enter this proposal as pending support.
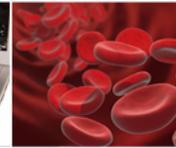
Proposal Preparation Instructions

- FACILITIES, EQUIPMENT & OTHER RESOURCES - Provide a description of available facilities and priorities for their use, if applicable. Please note that this section is a required part of the proposal. This is the section where you may describe institutional support provided to your project that could be construed as cost-sharing, such as for example the fact that the university may pay for your graduate student's tuition or may pay for part of a post-docs salary.

Proposal Preparation Instructions

Special Information/Supplementary Documents:

- Proposals must include a supplementary document of no more than two pages labeled "Data Management Plan". This supplement should describe how the proposal will conform to NSF policy on the dissemination and sharing of research results. Consult the GPG for details or go to

  http://www.nsf.gov/bfa/dias/policy/dmp.jsp.

- POSTDOCTORAL RESEARCHER MENTORING PLAN - Must be included as a supplementary document if funding to support a postdoctoral researcher is requested.

Proposal Preparation Instructions

Additional Supplementary Documents Required by NSF 14-513:

- A letter of commitment from your Department Chair or Dean stating that you will have institutional support in terms of allowance for release time, travel for research purposes, and access to existing research facilities.

- A mentoring plan for you from the Department Chair or Dean.

- A letter of support from your research collaborator.

- A research mentoring plan for you from the research collaborator.

- A mentoring plan from you for the undergraduate students that are involved in the project.

- Mentoring plans should be signed so that it is clear to reviewers who wrote them.
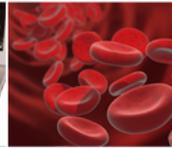
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