



2012-2013 REQUEST FOR VT EPSCoR INNOVATION FUND (IF) AWARDS

DUE DATE BY ELECTRONIC SUBMISSION – April 5, 2012 by 4:00 p.m.

WEB SITE AVAILABLE – December 15, 2011

Vermont EPSCoR (Experimental Program to Stimulate Competitive Research) has supported research in Vermont with funds from the National Science Foundation and local sources since 1986. The impact of the EPSCoR program includes the private sector, in particular, small technology-based businesses. We are stimulating innovation in research and technology in Vermont through **Innovation Fund (IF) Awards**.

Truly innovative research is needed to stimulate the science and technology development in the Nation and enhance our competitiveness in the global economy. In order to stimulate truly innovative research in Vermont, we are calling for proposals for awards up to \$12,000 to support proof-of-concept work. We will not consider proposals for important, but low-risk research. Rather we are searching for ideas that, if they work, would revolutionize a Science, Technology, Engineering or Math (STEM) field.

The following features in this solicitation should be noted:

Program Overview:

The maximum amount of each grant is \$12,000. The PI does not need to be a faculty member or small business owner. Preliminary data are not required.

Awards are contingent upon funding of the Vermont EPSCoR grant by the National Science Foundation.

Investigators may be requested to present a brief, in-person presentation to the evaluation committee as part of the application process. Presentation instructions will be available on the web.

Multiple year IF or Phase (0) awardees must take a 1 year break from submission after their third consecutive successful award.

Applicants listing UVM as their institution must accept this award as an individual, and will be considered taxable.

Obligations Associated with Funding:

- A paper copy of your financial report due to the EPSCoR office by the end of funding period;

- Electronic annual reporting of progress, assessment surveys, demographic information, project updates and follow-on funding to the EPSCoR office as requested through 31 July 2016;
- Attendance at the annual VT EPSCoR Conference;

Period of Support: 1 September 2012 – 31 May 2013

Proposal Content:

- Project Description (4 pages): Describe the problem and research plan in sufficient detail to allow for an evaluation. Please address each of the following under separate headings:
 - **Societal impact:** What are the markets to which the proposal is geared? Where will the initial or primary impact be made?
 - **Innovation:** Identify the innovation. How is this a marked change from previous work in this area?
 - **Risk:** What are the top risk factors to the success of the proposal and what can be done to mitigate them?
 - **Project description:** Describe data gathering methods, potential problems, equipment and other resources needed. Resources currently available for the project should be described.
 - **Evaluating Success:** Describe how, if proof of concept succeeds, this work will move a field forward in ways that standard research projects would not. What the next steps are and how does one define success? Applicants are encouraged to identify potential industry partners, if appropriate.
 - **Results from Prior Support:** If a PI or co-PI identified on the project has received EPSCoR funding in the past five years, information on the award(s) is required. The following information must be provided: (a) the project title; (b) a summary of the results of the completed work; (c) if applicable, a description of the relation of the completed work to the proposed work.

If the project involves research on human subjects, (e.g., work with human tissue, interviews or medical trials with human subjects, and collection or analysis of 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/spa/>. If you have any additional questions about regulations regarding work involving human subjects, contact the Sponsored Project Administration office at (802) 656-3360.

- Past Work (1 page): Describe your past work or innovations.

- Personnel: Include current resumes for key personnel.
- List of Suggested Reviewers (Optional). Provide the first and last name of suggested reviewers that you believe are especially well qualified to review this proposal. Alternatively, provide reviewers not to include. Designate persons you would prefer not review this proposal and indicate why.
- Budget (2 pages): Include an expenditure budget and a detailed budget justification. Indirect costs are not allowed.
- Identification of in-kind funding is not required; but in-kind matching will be greatly appreciated. An example of in-kind matching funds is percent effort. Questions about in-kind funds can be directed to Lillian Gamache at Lillian.Gamache@uvm.edu

Evaluation Criteria:

A panel of local entrepreneurs will evaluate the proposals. The review will focus on innovation. Criteria will include:

- Significance to a STEM field;
- Levels of risk and innovation;
- Appropriateness of methodology;
- Appropriateness of budget;
- Clarity of proposal;

How to Submit an IF Award Proposal to Vermont EPSCoR:

Web based submissions are the only accepted form of submission. Please go to www.uvm.edu/EPSCoR and click on the IF link to access proposal form, budget form and cover page information. **Forms will be made available on the web on 15 December 2011.** You are encouraged to submit early to avoid any potential submission complications.

1. **Web submissions are due 5 April 2012 by 4:00 p.m.**
2. **Cover Page* and Letters of Intent from potential collaborators are due by mail only (no FAX), by 5 April 2012 at 4:00 p.m.** Send to Vermont EPSCoR, Cook Building, 82 University Place, Room 528, University of Vermont, 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 grant recipient unless there is an academic collaborator. In the case where an academic collaborator is not acting as an independent consultant paid through a 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 grant 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, or 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.**

For more information about Vermont EPSCoR or the SBIR program, contact Lillian Gamache, Vermont EPSCoR Project Coordinator at epscor@uvm.edu