

**Vice Provost for Research and Graduate Studies**

**INNOVATE Awards**

***FOR RESEARCH, CREATIVE ACTIVITY, AND INNOVATION***

**GUIDELINES AND REQUEST FOR PROPOSALS**

**2018 Calendar Year**

The Vice Provost for Research and Graduate Studies (VPRGS) is pleased to offer a seventh year of the **INNOVATE** program. The VPRGS is now soliciting proposals for the 2018 calendar year. Awards will be announced in November 2017 with funding to begin January 2018.

In previous years, the INNOVATE award has provided awards of $10k and $25k. Accomplishments included faculty receiving external research grants from the NIH, NSF, and other funding agencies that provided a 6:1 return on research investment and a success rate for external funding that is 2.5 times greater than the National Average, publications in peer review journals, and invention disclosures that evolved into pending patents and the foundation for the first four UAA’s start-up companies. From 2012 through 2017 the awards support 64 projects in diverse areas across throughout UAA including Business and Public Policy, Health, Sciences, Biological Sciences, Engineering, Astronomy, Theatre and Dance, English, Psychology and WWAMI, both interdisciplinary teams and individuals.

**Purpose of Funding: INNOVATE** seeks to inspire and encourage new research, creative works and innovation at UAA by providing funds that will lead to creative achievements, publications, intellectual property, and/or external grants. The awards are designed to encourage individual research as well as multi-departmental research teams. INNOVATE awards will provide an opportunity for mentorship of and research engagement for junior faculty.

**Eligibility:** All tenure-track and tenured faculty and research professionals of the University of Alaska Anchorage are eligible to apply. Junior faculty are encouraged to apply. Proposals from all disciplines are welcome. Please note that your department chair and your Dean must sign your Submission Form.

**Two award categories will be established:**

* Awards of up to $10,000 for eligible faculty proposing smaller projects leading to external funding, IP, creative activities, or submission for publication. These may be team or individual applications.
* Multi-departmental team awards of up to $25,000. Such multi-departmental projects will involve mentoring junior faculty. The Principal Investigator on these awards should have a demonstrable prior record of research achievement.

**DEADLINE FOR SUBMISSION:** Friday, November 3, 20176 at 5:00 PM

**Submit Applications to:** Dr. Helena S. Wisniewski, Vice Provost for Research and Graduate Studies at: [hswisniewski@alaska.edu](mailto:hswisniewski@alaska.edu).

**Notification to Applicants:** by Friday, November 22, 2017.

**Funds Available to Successful Applicants:** Friday, January 5, 2017

**Duration of Award:** Calendar year 2018.

**Budget Management and Reporting Timeline:**

To ensure effective use of the approved budget, the Office of Research and Graduate Studies (ORGS) Finance Director will undertake quarterly reviews. For any budget questions or issues, please contact the finance director. Both a formal presentation by all awardees is required, date and time to be determined, and a final written report is due by the end of December 2018. However, the VPRGS would welcome notification of outstanding successes or achievements at any time during the year of your award for sharing with the public.

**Criteria for Review:** Proposals will be reviewed by a panel of peers, including members of the VPRGS Research Council, under the auspices of the Vice Provost for Research and Graduate Studies. As far as feasible, review panel membership will reflect college and discipline representation consistent with applications received.

Proposals will be reviewed using the following criteria:

* 1. **Clarity and organization of proposal:** The proposal should be well-organized and easy to follow with its purpose, goals and objectives clearly stated.
  2. **Significance of project:** Proposals should state the expected outcomes of the activity and show how the project will innovate and/or advance important topics or research in the field or discipline or lead to intellectual property.
  3. **Impact of the proposed project:** Proposals should clearly explain the potential return on investment (ROI) based on the goal of the proposal. They should indicate the potential impact that will be produced by the proposed project on the career of the investigator, on the investigator’s discipline, on the university, and/or on the community (local, state, national, or international). In addition, impact should fall into one or more of the following categories.
* How the support can lead to a competitive proposal for external funding (including the specific purpose of the funding proposals and the agencies to which they will be addressed).
* How the support will result in a publication to be submitted to a premier, peer reviewed journal, with names of potential journals for submission. This can also include how it will advance the field and the research of the investigator(s).
* How the support will result in significant creative activity including, but not limited to, productions, performances, curated exhibitions, presentations, compositions, artistic creations.
* How the support will result in generating IP, in particular a provisional patent or patent filing.
* Please describe previous and current funding (as well as anticipated future funding you expect to receive) for this project.
  1. **Methodology/Plan/Objectives:** The proposal should demonstrate a realistic approach and reasonable plan for timely accomplishment of the stated goal and objectives. Research methodologies or creative techniques involved are sound and clearly articulated.
  2. **Budget and budget narrative:** The budget is clearly detailed and justified.
  3. **Research or creative competence:** Demonstrable evidence of competence in research or creative activity has been provided.
  4. **Quality of Mentoring Plan Where Applicable:** Junior faculty and researchers must provide a mentoring plan.

**Applications will include the following:**

1. **Submission Form**
2. **Abstract:** The *Abstract* should be limited to 300 words and should summarize the project narrative succinctly.
3. **Project Narrative:** The *Project Narrative* should not exceed 5 pages in length. The narrative should address the criteria for review listed above. If including a junior faculty member for mentoring purposes, indicate which of the team members fits that category.
4. **Budget** (including budget justification): The *Budget* should be detailed and include the following as applicable: total personnel services including benefits; allowable travel; contractual; commodities; and other categories as appropriate. The budget narrative should explain and justify the budget, and it should demonstrate that the proposed budget is adequate.

**Proposed expenditures should be in compliance with all UAA policies and regulations.** For assistance, please contact the Office of Sponsored Programs in the Office of the Vice Provost of Research and Graduate Studies**.**

1. **Curriculum Vitae**

A full *curriculum vitae* is required for the $25,000 awards together with short biographies of other team members. Applicants for this large award should document recent publication records, equivalent scholarship, or creative activity, and outcomes of prior internal and external grants. For applicants for the smaller awards (<$10,000), short biographies are required for all team members; biographies must address the relationship of previous experience to the proposed effort.

1. **Support from External Agencies**

In some instances, applications include references to external agencies (government departments, companies, corporations etc.) that provide resources, access, and data to facilitate the research. In these cases, applicants are advised that a letter from the relevant supervisor from the external bodies is required as part of the application package.

1. **Junior Faculty and Researchers Mentoring Plan Where Applicable:** Junior faculty at the assistant professor level must provide a mentoring plan. The mentors must be experienced senior faculty with proven track record of success in research and creativity. The mentors can be either internal or external to UAA.

Please note that funding for all research involving humans, vertebrate animals, radioisotopes, or chemical or biological hazards will be contingent upon successful completion of the applicable university review process (e.g., IRB or IACUC). Please contact Dr. George Kamberov (gkamberov@alaska.edu) for assistance.

**The proposal and submission form with all supporting materials should be sent electronically as an attachment to Dr. Helena S. Wisniewski, the Vice Provost of Research and Graduate Studies at** [**hswisniewski@uaa.alaska.edu**](mailto:hswisniewski@uaa.alaska.edu)**.**

**Frequently Asked Questions**

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| Eligibility status | I am tenured/tenure-track but I am part-time. Am I eligible? | If your current contract shows you as being at least 50% you are eligible. |
| Eligibility status | I hold a term position. Am I eligible? | If you are likely to have a continuing contract, and if your Dean approves your application, then your project will be considered. |
| Eligibility status | I am an adjunct. Am I eligible? | You are not eligible. |
| Eligibility status | My formal classification is bipartite and my workload shows teaching and service only. Am I eligible? | If your Dean approves your application, then your project will be considered. |
| Eligibility status | I currently hold an INNOVATE award. Am I eligible to apply? | Yes, if the application is for a new or substantially revised project. |
| Eligibility status | I am a UAA student. Can I apply for an award? | The program is designed for UAA faculty although students may serve as part of the research team. |
| Eligibility status | I hold an administrative position and a faculty position. Am I eligible to apply? | Yes, if your Dean approves your application. |
| Team submissions | Can a team submit a proposal, or is this program restricted to single investigators? | For the $25,000 awards, a multi-departmental team application is required. For the smaller awards, a single investigator or a team may submit. In both cases, only one person may be the lead investigator (the Principal Investigator or “PI”).  Note that regardless of whether a team or a single applicant is named, the budget limits of $25,000 or $10,000 apply. |
| Mentors | Do I need a mentoring plan? | PIs that are junior faculty and researchers (assistant professor level) must provide mentoring plans. Mentoring plans are not required from senior faculty and researchers. |
| Multi-year awards | Does INNOVATE support multi-year awards? | No. The purpose of INNOVATE is to provide an opportunity for researchers to complete a substantial study within a 12-month time period with the expectation of a tangible outcome in terms of results, publications, and applications for external funding. |
| Equipment purchases | I need to purchase a video or computer for my research. Is this allowed? | You must demonstrate that the proposed equipment is essential to accomplish the investigation outlined in your proposal. A proposal requesting funds solely to obtain non-specialized equipment would not be competitive. |
| F&A | What percentage for Indirect Costs (F&A) should I use in the budget? | None. Indirect costs (F&A – Facilities and Administration costs) are not required for the INNOVATE program. |
| Timeline for completion | I am not confident that I can complete my proposed program in one 12-month period. Can I continue my research with the approved budget into a second year? | No. You must plan to complete the project within the applicable calendar year. All funds must be expended 12 months after you receive funding. Unexpended funds will be return to the Office of Research and Graduate Studies. |
| Budget preparation | I am unsure about some aspects of my proposed budget. Can I seek help? | Yes. Contact the Office of Sponsored Programs for assistance. |
| Budget issues | I have an approved budget but I wish to make revisions. Can I do this? Who should I contact? | Normally, investigators will be required to adhere to their approved budget. If you have need to alter your budget categories after the award has been made, please email your request to the Vice Provost for Research with a cc: to the ORGS Finance Director. |
| Non-UAA researchers on the team | I work with researchers who are not employed by UAA. Can I include them in the award application as investigators? | Yes, as long as the PI is a UAA tenured or tenure track faculty member. Non-UAA team members may not receive remuneration for their involvement. |
| Personal salaries | I want to pay myself for all of summer from the award. Is this acceptable? | As a general principle, PIs and even team members, may budget for summer salaries but the purpose of the award is to produce a return on investment, not simply provide additional salary. |
| Confidentiality | I am concerned about confidentiality and disclosure as I have some novel ideas that will need to be explained in my proposal. Is my application to be kept confidential and out of the public domain? | Definitely. None of the contents will be divulged outside of the review process; only names of the awardees and the title of the project will be published. If you have a novel idea for which you seek IP protection, please contact the VPRGS for advice. |
| Proposal evaluation | How will the significance and impact of my project be evaluated by the Review Committee? | The Review Committee will evaluate your proposal based on the information you provide. As much as possible, we will solicit reviewers from within the discipline of the investigator. Significance and impact can only be determined by how well you have crafted your proposal, provided supporting details, and demonstrated your professional experience. |
| Progress Review | Is it true that I will have to present my results as part of the Progress Review? | Yes. The VPRGS will convene a meeting at which successful applicants will present their research, its outcomes, and plans for follow-up external funding. This is important for several reasons: we need to know the award has been conducted effectively, we would like to hear of the outcomes of the research (especially potential IP), and we want to use the review to give advice for future investigations. |