

RESEARCH & DEVELOPMENT

FISCAL YEAR 2016-17

Questions and Answers about Requests for Proposals (RFPs)

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Questions of General Relevance

1. Q. Can I hire my husband to work on my grant as a consultant?

A. No. Faculty members are public servants and subject to the State Code of Governmental Ethics (<http://ethics.la.gov/Pub/Laws/ethsum.pdf>). This code restricts professional interactions with family members that represent conflicts of interest, into which category the hiring of immediate family members falls. Family members who share a research project may submit proposals as PI/Co-PI, but not hire one another on awards as consultants, assistants, or other paid staff.

2. Q. I plan to submit a multi-institutional proposal and understand that I must obtain approval not only from my institution but also university approval from the other collaborating institution. How should this be done given the electronic submission process?

A. A multi-institutional proposal should include in section 4 of the proposal the name of the lead institution and the name(s) of the other collaborating institution(s). Additionally, a letter signed by appropriate officials from each collaborating institution should be added to the Additional Documentation section of the proposal stating their commitment to the project.

3. Q. Are the deadlines for submission of notices of intent and proposals listed in the Support Fund RFPs absolute?

A. Yes.

4. Q. What is the start-up date for all awards made this cycle? Is this the actual time that work is to begin?

- A. The start date for new R & D awards will be June 1, 2017, and work is expected to begin on or as soon as possible after that date.
5. Q. Who is eligible to apply for a Support Fund grant?
- A. All Louisiana public higher educational institutions and independent institutions of higher education that are members of the Louisiana Association of Independent Colleges and Universities (LAICU) are eligible to apply for Support Fund grants. Only those individuals who are affiliated with a Louisiana institution of higher education in accordance with specific RFP requirements may act as principal, co-principal, or other investigators. Individuals not employed by a Louisiana institution of higher education may serve as consultants on the project; their contributions should be discussed in the proposal narrative.
6. Q. May a faculty member who is not a U.S. citizen compete for Support Fund grants?
- A. Yes.
7. Q. May a faculty member whose appointment does not begin until the middle of the fiscal year apply for a Support Fund grant?
- A. Yes, if the institution certifies that the investigator is an eligible faculty member.
8. Q. May a student holding a Ph.D. serve as a co-principal investigator?
- A. No.
9. Q. Who determines the eligibility of proposals?
- A. The eligibility of proposals is determined by the out-of-state consultants engaged by the Board of Regents to review such proposals for funding.
10. Q. Can more than one school be involved in a single proposal?
- A. Yes, schools are encouraged to interact with one another.
11. Q. I am working on a proposal in which my co-principal investigator is from another institution. Does he need to submit a budget from his own institution?
- A. It is not required, but it is a good idea. Including this budgetary information greatly expedites the processing of required paperwork if the project is funded. More importantly, it helps convince external evaluators that the co-PI's university is seriously committed to this project.

12. Q. Must institutional matches pledged in a proposal be honored in full in all circumstances, even if the proposal budget is significantly reduced?
- A. Institutions should not assume that proportionate reductions in institutional cost sharing will be allowed. Consultants will stipulate the circumstances under which pledged institutional cost shares may be reduced, the line items where such reductions may occur, and whether the reductions may be proportionate to Board of Regents funding for that line item or of a specified amount. In all other cases, institutions will be expected to honor their matches in full.
13. Q. Can matching funds be pledged from a source other than university funds?
- A. Yes. Applicants should be aware, however, that all matching funds pledged in a proposal, irrespective of their source, should be included in the budget and budget justification submitted with the proposal and must also be included in the budget submitted with the contract if the proposal is funded.
14. Q. In developing the budget for a proposal, how detailed does the line item breakdown of the institutional match need to be?
- A. The line item breakdown should be as complete as possible. A detailed breakdown and justification should ensure that the amount and nature of the match will be clearly understood by anyone reading the proposal.
15. Q. Does there have to be a 1:1 institutional match for every LEQSF dollar requested?
- A. No. However, a substantial match is extremely attractive to reviewers in determining a university's commitment to the project.
16. Q. May a proposal request Support Funds to pay consulting fees to an employee of a Louisiana university?
- A. Support Funds may not be used to pay any faculty member or university employee funds in excess of 100% of that faculty member's or employee's salary. Therefore, it is unlikely that Support Funds would be allowed for internal consulting fees. Support Funds may be requested for external consultants. See also the "Disallowed Budgetary Items" section of the RFPs.
17. Q. How specific should a description of requested equipment be? Is there a rule on determining if an item should be classified as equipment or supplies, such as monetary guidelines (i.e., items that cost over \$1,000 should be considered equipment)?

- A. Specificity depends on the nature and scope of the proposed project. As a rule of thumb, one should provide sufficient description so that a consultant with general knowledge of the subject area of the proposal can readily understand the need for such equipment, and how particular pieces of equipment will help to achieve the goals of the proposed project. The Board of Regents does not have rules or guidelines on how to determine whether an item should be classified as equipment or supplies, but is aware that some institutions have applied such guidelines in their accounting services. It is important for principal investigators to describe any necessary budget items in the budget pages of the proposal and carefully document these items in the budget justification. Any equipment requested with Support Fund money from the R & D Program will require at least a 25% cash match.
18. Q. May funds be requested to build a facility to house a proposed equipment project?
- A. No.
19. Q. Can Support Funds be used to purchase a vehicle?
- A. No.
20. Q. Do I include funding from both state and federal agencies on my Current and Pending Support form?
- A. Yes.
21. Q. Should appendices be paginated?
- A. Yes.
22. Q. My institution's Animal and Human Use Committee meets after the deadline for submission of proposals. May I submit the pending form?
- A. Yes. If your proposal is recommended for funding, the approved forms will be required prior to contract execution.
23. Q. Does the Board publish a style manual?
- A. No. Proposal format is discussed only in the current RFPs.
24. Q. Are RFPs available on CDs?
- A. No, but they are available on the Sponsored Programs home page, <https://laregents.org>.

25. Q. How do you define reform-based education?
- A. The Board of Regents subscribes to the National Science Foundation's philosophy that faculty members who vigorously combine teaching with scholarship are essential to the creation of vital education at any level and in any institution. To this end, the Board, following NSF's lead, encourages programs that seek to provide incentives and rewards to stimulate and motivate faculty members so that creative teaching and instructional scholarship become a part of the "faculty culture" at all institutions. This means that faculty members who are primarily teachers need opportunities to deepen their knowledge, while those engaged in discipline-based research need encouragement to connect their research with learning experiences for their students, and to develop expertise in innovative teaching. Reform-based education places less emphasis on the passive receipt of lecture notes and more emphasis on an interactive, inquiry-based, constructivist method of teaching.
26. Q. What published reports on reform priorities in education and teacher preparation do you accept as reliable citations and data sources?
- A. In general, the decision as to whether a citation and/or data source is reliable is left up to the applicants submitting the proposals and the external consultants reviewing them. However, the National Science Foundation has published numerous articles on the subject, as have a variety of other sources.
27. Q. Is there a restriction on being a PI on an RCS proposal and an Enhancement proposal at the same time?
- A. No.

Questions Regarding the R & D Program

28. Q. Can foreign researchers be listed as Other Investigators? If not, can they be listed as consultants and their bio-sketches provided?
- A. No. Individuals who are not employed by an eligible Louisiana Institution of Higher Education (e.g. out-of-state scholars, scientist, and/or engineers or employees of industry) may serve as consultants on applications; however, they may not be listed as principal or other investigators and must not be cited on the cover page of the proposal.
29. Q. What is the type size and page margin for this Goals and Objectives section?
- A. The Goals and Objectives section of the application must be no longer than the equivalent of one, single-spaced, type written page.

30. Q. Can we budget for travel for foreign collaborators listed as consultants to the project to visit our lab in Louisiana?
- A. Yes. Although there is nothing in the RFP that disallows this type of budgetary request, the reviewers will carefully consider the whole budget and may not recommend all requested expenditures.
31. Q. In regards to the Research Competitiveness Subprogram, what is needed to make a case that a proposal does not violate Article VII Section 10.1 of the Louisiana Constitution?
- A. Essentially the Article stipulates that “. . . monies appropriated by the Legislature and disbursed from the Support Fund shall not . . . displace, replace, or supplant other appropriated funding for higher education. Therefore, funding for the proposed research cannot in any way replace any other funds already appropriated for higher education. In addition, Support Funds may not be requested/used to pay any faculty member or university employee funds in excess of 100% of that faculty member’s or employee’s salary. This is also true for ITRS proposals.
32. Q. Is it necessary to include the History of Support as well as Current & Pending Support for individuals listed as “other investigator” on the proposal?
- A. Yes.
33. Q. My institution was awarded a Title III Federal Grant; can this funding be used as institutional cost-share?
- A. Yes.
34. Q. Can I omit listing of award identifying numbers on the History of Support form?
- A. No.
35. Q. My research may qualify under several disciplines. Should I submit in one discipline versus another to increase my chances of funding?
- A. All disciplines are given equal consideration. The discipline should identify the subject area of your research as clearly and concisely as possible.
36. Q. Must I contact the outstanding scholars that I think are qualified to evaluate my proposal prior to listing them in the NOI?
- A. No.

37. Q. I understand that BOR funds may not be budgeted for fringe benefits for graduate research assistants. Are fringe benefits allowed for the PI?
- A. Yes.
38. Q. The R&D RFP states that institutions must certify that full-time employees will not, under any circumstances, receive funds in excess of 100% of their regular salaries. Does this prohibit faculty on nine-month appointments from requesting summer salary support?
- A. No. Faculty on nine-month appointments may request up to two months summer salary support from the Board. With respect to the Board's provision of academic-year salary and to its provision of summer support for faculty and employees on twelve-month appointments, salary support provided by the Board will *substitute* for, but not augment, that portion of the faculty member's salary, with commensurate release provided by the institution. Salary support for RCS one-year applicants may not be requested and is therefore disallowed.
39. Q. May the budgetary amounts requested in an R&D proposal differ from those provided in the notice of intent?
- A. Yes.
40. Q. If our institution will be the lead subcontracting institution on a joint R&D proposal with another institution, must we obtain the approval of appropriate officials from the second institution on the notice of intent?
- A. No. Only appropriate officials from the lead institution need to approve the notice of intent. Approval from investigators and officials at all participating institutions are required for the proposal.
41. Q. What percent faculty appointment with a Louisiana institution of higher education must an individual hold to be eligible to submit a proposal in the R&D program?
- A. The RFP specifically states that "Only tenured or tenure-track faculty employed on a full-time basis by an eligible Louisiana institution of higher education may act as principal or co-principal investigators." However, ITRS and PoC/P proposal applicants include Research Faculty employed on a full-time basis as well.
42. Q. On how many proposals may an individual be listed as an investigator in the R&D Program? On how many projects may an individual participate as an investigator?
- A. An eligible faculty member may serve (see Section V.A.1) as a principal or co-principal investigator on a maximum of one RCS grant at any one time

and principal or co-principal investigator on a maximum of two ITRS, two P-o-C/P, or a combination of two projects at any one time. An individual may appear an unlimited number of times as an Other Investigator. An individual also may act in an advisory or mentoring capacity on other proposals, in which case this investigator's contribution would be discussed only in the body of the proposal. However, investigators should note that reviewers pay close attention to the demands that multiple research projects place upon an investigator's time when deciding whether to recommend Board funding for an investigator and/or a particular project.

43. Q. Can a principal investigator submit a continuation proposal and a new proposal in the same R&D subprogram?
- A. Only in the ITRS and PoC/P, where the limit is two proposals per PI.
44. Q. Must I submit a Notice of Intent even if the proposal has been previously submitted?
- A. Yes.
45. Q. Within the R&D Program, will I be notified whether my Notice of Intent was accepted and, consequently, whether I will be allowed to submit a full proposal?
- A. Yes. The applicant will be notified via e-mail that the electronic submission was sent through LOGAN. Proposal submission may begin after receipt of NOI confirmation.
46. Q. On page 1 of the Notice of Intent, should Total Support Funds Requested include matching funds from other sources?
- A. No.
47. Q. The NOI cover page asks if a proposal is a new request. Is this question asking if the proposal has been submitted before or if the proposal has been funded before?
- A. The statement refers to whether the research set forth in the proposal has been funded previously through the Support Fund.
48. Q. Do Notices of Intent require the approval of co-principal investigators and other investigators?
- A. No. Only the approval of the principal investigator is required.

49. Q. May the name of a proposal, principal investigator, co-principal and/or other investigators, and amount requested change between the NOI to the proposal?
- A. Changes in title and other minor changes will be allowed including funds requested. Significant changes in the thrust or scope of a project are not permitted. Changes in principal investigator are not allowed.
50. Q. When a proposal is submitted, may the duration (number of years) of the project be changed from that stated in the Notice of Intent?
- A. Yes. A written justification is required, if requested.
51. Q. May I submit my proposal in a discipline different from the one indicated in my Notice of Intent?
- A. No.
52. Q. Is the number of subdisciplines that may be listed on an RCS NOI limited?
- A. No. The subdisciplines should identify the subject area of your research as clearly and concisely as possible. The subdisciplines listed in the NOI serve the same function as keywords.
53. Q. May I submit a two-page document in lieu of the 250-word project summary required in an R&D Notice of Intent?
- A. No.
54. Q. Must we submit a detailed budget with the Notice of Intent?
- A. No.
55. Q. May a faculty member at a university that I attended formerly as a student be listed as a prospective reviewer on a Notice of Intent?
- A. Yes, if the applicant believes that no conflict of interest exists. A conflict of interest might arise if the prospective reviewer was a former major professor, student, or colleague of the applicant. If the applicant had little or no professional contact with the prospective reviewer, the mere fact that the applicant and prospective reviewer were at the same institution at the same or different times would not disqualify the latter as a prospective reviewer.
56. Q. Should the suggested mail reviewers listed on a RCS Notice of Intent be published scholars possessing terminal degrees?
- A. Suggested mail reviewers should have sufficient expertise in the area of the research project to evaluate the proposal effectively.

57. Q. On a Notice of Intent, can the list of scholars qualified to review the proposal include individuals from industry, or must they be university professors?
- A. The names of individuals in industry are acceptable. Please be certain that all contact information listed for such scholars (from universities or industry) is current.
58. Q. May Canadian reviewers be recommended in the NOI?
- A. No. Only reviewers from the United States will be used.
59. Q. May an applicant revise his/her list of potential reviewers or submit the names of additional reviewers after the deadline for receipt of the NOI?
- A. No, unless the applicant discovers after submission of the NOI that a conflict of interest exists with one of the listed reviewers, or learns that a listed reviewer has died or left the continental United States. In these exceptional circumstances, the applicant may substitute the name(s) of other reviewers on a one-for-one basis. Any substitution must be accompanied by a written justification.
60. Q. What types of information can be kept confidential?
- A. If the applicant believes that he/she has included certain information in his/her proposal that needs to be kept confidential, the applicant and the institution should review R.S. 44.4(16) of Act 102 of the 1988 Legislative Regular Session and the guidelines adopted by the Board of Regents (see the R&D RFP) and determine whether the information in the proposal fits these criteria.
61. Q. May an institution request Board of Regents salary support for an “other investigator” in the RCS? In the ITRS?
- A. In the RCS Board of Regents funds may be requested for salary support for “other investigators” only if they are not yet established researchers and if they would be eligible to apply for RCS grants in their own right. Funds should not be requested for senior faculty and established researchers serving as mentors on RCS projects. In the ITRS Board of Regents funds may be requested for salary support for “other investigators”. In both cases, requests for salary support for “other investigators” must be well justified.
62. Q. Can the PI claim part of his salary as institutional match?
- A. Yes, but only for that part of his time devoted to the Support Fund project.

63. Q. May we include our university's federally negotiated indirect cost rate as institutional match?
- A. Yes.
64. Q. Can I include requests for equipment in the second year of a multi-year R&D proposal?
- A. Yes.
65. Q. Am I to fit all three years of my R&D project onto one budget page?
- A. No. As stated in the RFP, if multi-year funding is requested, separate budget and budget justification pages must be completed for each year of the proposed project, and a cumulative budget included.
66. Q. To most effectively demonstrate one of my contentions in an R&D proposal, I need to use a videotape presentation. Is this permissible?
- A. No.
67. Q. What types of former research support must be listed in the History of Support?
- A. At a minimum, all research grants from which a principal or co-principal investigator received financial support must be detailed.
68. Q. Does the 15-page narrative limit for RCS (2-3 year) and ITRS proposals include the bibliography?
- A. No.
69. Q. May faculty exceed the 15-page maximum for the narrative section of a RCS (2-3 year) or ITRS proposal if they double space?
- A. No.
70. Q. I plan to ask two scholars to act as consultants on my project. Should these consultants write letters of support for the project, explaining their potential roles, or should I simply justify their presence in the proposal?
- A. Letters of support from collaborators are encouraged and should be attached to the proposal. The narrative of the proposal should also include descriptions of collaborators' roles.
71. Q. Is there a preference among reviewers for proposals offering quantitative, rather than qualitative, analysis?

- A. There is no preference given. Appropriate analysis depends on the research design of each individual project. Reviewers raise concerns when the proposed analysis seems inappropriate or ineffectual for the experimental design.
72. Q. On the Current and Pending Support Forms required for R & D proposals, must the investigator list the actual Support Fund proposal which is being submitted?
- A. If the investigator is listed on another Board of Regents proposal during the previous funding cycle, the other application(s) on which the investigator appears should be listed under pending support.

Questions regarding the Research Competitiveness Subprogram (RCS)

73. Q. I'm an international who recently accepted a faculty position in higher education in the State of Louisiana. I currently have international research funding from Korea and am also the recipient of an Australian Science Foundation award (rescinded due to USA job acceptance). Would this prior funding make me ineligible for the Research Competitiveness Subprogram (RCS)?
- A. No, not necessarily. Although it appears that you are quite successful in competing for research funding in other countries, you do not have research funding in the United States. The specific objective of the RCS is to build and strengthen the fundamental research base and competitiveness of Louisiana's universities. The RCS is also a stimulus program directed towards researchers (junior researchers given priority) who are at the threshold of becoming nationally competitive. Ultimately, the RCS reviewers evaluate the funding history and determine the investigators' eligibility for the subprogram on a case-by-case basis.
74. Q. We have a Ph.D. student who has received a scholarship for her Dissertation from your Board's (Doctoral Fellowship Program). Her dissertation research is part of my proposal. Also, my department can provide salary support for a post doctoral fellow who will also conduct research for this project if funded by the RCS program. The money is already available. Should we list the total amount of the above funds as institutional match or should we just list the scholarship/fellowship in the application? The funding available plus the amount requested from this RCS application will exceed the total of \$200,000. Will this be OK?
- A. The Ph.D. support provided for your research project should be described in your narrative; however, only the Ph.D. support provided by your department may be included as an institutional match. Ph.D. support provided by the Board's Graduate Fellows program may not be included as an institutional match for your project, since you would be matching

LEQSF funds with LEQSF funds. Lastly, the \$200,000 monetary limitation is the maximum amount of funds that may be requested from the Support Fund for your RCS project and should not include any additional funding available to you.

75. Q. When I submit to the RCS, am I only competing with other proposals in my discipline?

A. No, the subject-area reviewers (out-of-state experts familiar with the area of research) review each proposal to assess: (a) the extent to which a given proposal meets the criteria of the particular subprogram under which it was submitted; and (b) using the national standards of excellence, the quality and relative merits of the proposed research and research plan.

The final panel (a team of out-of-state experts) will prepare a report which ranks all proposals included in the subject-area reviews. In arriving at its conclusions, this panel considers the objectives and guidelines for the appropriate subprogram, the scores and comments from the subject-area reviewers, and any additional pertinent written comments to determine the final ranking of proposals recommended for funding.

76. Q. Is there a rule that the RCS program does not fund postdoctoral researchers?

A. No. Although the reviewers regard student training as a valuable component of any research project, there are occasions where funding for a post-doc has been permitted, as long as the necessary justification was provided.

77. Q. May a colleague who is already nationally competitive for federal funding be listed as a co-principal investigator on an RCS grant?

A. No. A nationally competitive colleague may be listed only as an "other investigator." Please note that no Board of Regents salary support may be requested for a nationally competitive researcher, although the institution may provide release time or other forms of support as part of its institutional match.

78. Q. I am entering the second year of a two-year RCS grant. The NSF turned down my application for Federal support, citing the need for continued research. May I apply for a third year of support under the RCS?

A. You may submit a proposal in the RCS if your discipline is eligible this year in accordance with the guidelines set forth in this year's RFP.

79. Q. I am a faculty member in a biological sciences department and intend to submit an RCS proposal whose subject could be characterized as either immunology or as molecular and cellular biology. Must I submit this proposal in the Biological Sciences discipline, or may I submit it in the Health and Medical Sciences?
- A. You may submit the proposal in either discipline. The discipline in which you decide to submit your proposal should be determined by the subject area that most closely approximates that of the proposal, not by your departmental affiliation. Immunology (NSF taxonomy code 0608) is a subdiscipline of the Health and Medical Sciences, while Cell and Molecular Biology (NSF taxonomy code 0206) is a subdiscipline of the Biological Sciences.
80. Q. I serve as a principal investigator for a current RCS grant. May I be listed as co-principal investigator on a new RCS proposal?
- A. No. You may appear only as an “other investigator” on any new RCS proposal. You may not request or receive compensation from the Support Fund for your participation in this new project, although your university may provide you with release time or other forms of support as part of its institutional match.
81. Q. Are non-tenure track faculty eligible to submit into the RCS?
- A. Only tenured or tenure-track faculty employed on a full-time basis by an eligible Louisiana institution of higher education may act as principal or co-principal investigators. For institutions which either have non-traditional approaches to promotion and tenure or are not permitted to award tenure, the proposal must include a letter from the campus head or chief academic officer explaining the promotion and tenure process as it applies to the faculty position held by the applicant, with confirmation that the applicant is fully eligible for tenure or long-term employment based on research performance.
82. Q. May an experienced researcher who is changing fields apply to the RCS program?
- A. Yes. The principal investigator should make a clear and compelling case in the proposal that he/she is changing research focus to a field in which the PI is not now and has not in the past been nationally competitive. The applicant should note that his/her record of publications and grants in the former research field will be considered by reviewers when evaluating the PI's ability and commitment to aggressively pursue nationally competitive status. As noted in the R&D RFP, however, junior researchers at the threshold of becoming competitive will be given priority over senior researchers who are changing fields. The RCS one-year is a research component to stimulate and support faculty on a limited basis in their

exploration of novel science and engineering research leading to near-term federal support.

83. Q. Several years ago I received an RCS grant. After that I received a Federal grant. Currently I have no research support at all. Am I eligible for the RCS?
- A. If your current RCS proposal is in a significantly different area of research from that/those area(s) funded previously by the RCS and by the federal government, you may be eligible to submit a new RCS application. You should note that the external reviewers bear ultimate responsibility for determining the eligibility of your proposal. You are advised to review carefully the eligibility criteria set forth in the R & D RCS RFP prior to any submission.
84. Q. May I submit an RCS proposal even though I am in the process of submitting the same proposal to a federal agency?
- A. Yes. Should your proposal be funded by both the Board and the federal agency, we would negotiate an appropriate resolution to any duplicate funding.
85. Q. Is seven years at an institution too long to be considered "junior" under the RCS guidelines?
- A. This fact alone would not make you ineligible for the RCS.
86. Q. If an RCS proposal is submitted by one or more husband and wife teams, does it matter which individual is listed as PI?
- A. No. The applicants must list a single PI, however, and may wish to choose that individual who most accurately reflects RCS's desired faculty profile of a researcher on the verge of national competitiveness for R&D funding. The proposal may address the barriers to national competitiveness and present a plan to overcome those barriers from the point of view of the research team as well as from the point of view of the chosen PI.
87. Q. Can a person be listed as a principal investigator on one RCS proposal and as a co-principal investigator on another RCS proposal?
- A. No.
88. Q. Faculty member A is a PI on an RCS project. Faculty member B is an "Other Investigator." If they get an award, is Faculty B eligible next year to apply for RCS, while he's already getting support as an "Other Investigator"? Also, his future RCS submission would be a different project but somewhat similar in topic.

- A. Yes, faculty member B is eligible next year to apply for RCS. However, in light of the fierce competition for the limited dollars available and the high quality of the proposals received, he will have to make a convincing case as to why reviewers should recommend that he get additional support money for another project before other investigators get a first round of support. This doesn't mean he cannot submit a successful application, but he should address the issue up front in next year's proposal so he does not leave the reviewers wondering.
89. Q. Do RCS proposals from major research universities receive preferential treatment?
- A. No. All proposals are evaluated according to the criteria set forth in the RFP.
90. Q. Are some of the disciplines eligible for RCS in a particular year considered "hot topics" and given preference over other disciplines?
- A. No.
91. Q. May faculty from the medical centers submit proposals in an appropriate Biological Sciences subdiscipline?
- A. Yes.
92. Q. Would receipt of a relatively small grant (up to \$50,000) from a private foundation render a principal investigator "nationally competitive" and ineligible for participation in RCS?
- A. Not necessarily. The RCS external reviewers evaluate the funding history of submitting investigators and determine the investigators' eligibility for the subprogram on a case-by-case basis.
93. Q. Would an "emerging, tenure-track faculty member" be eligible for RCS if the investigator has already received funding from a regional or national foundation?
- A. See answer to #92, above.
94. Q. May salary support for an investigator from outside sources be listed as matching funds on an RCS proposal?
- A. Yes. The budget and budget justification must make clear that the funds are coming from a source other than the institution. The applicant and institution should note that any salary match pledged in the proposal, regardless of its source, must be honored in full as a condition of funding if the proposal is awarded funding by the Board.

95. Q. I do not have reviews from previous grant proposals to substantiate the claim that I am “on the threshold” of federal funding. What other types of evidence can I use to demonstrate this?
- A. Usually past reviews or the PI’s own convincing argument are all the evidence provided. Perhaps invited lectures or symposia might provide additional support for your claim.
96. Q. How do reviewers define a researcher as “established”, particularly in cases in which faculty have publication records? Would the existence of published work without any funding support render me ineligible or less likely to receive RCS funding?
- A. “Senior” and “established” are adjectives generally used interchangeably, and are taken to describe a faculty member with a history in his/her field, an established reputation, and an achievement of some level of success in obtaining external funding. While the term “junior” is used to describe eligible RCS faculty, this does not mean that you must be either young in age or necessarily new to the field of inquiry. If you have been unsuccessful in garnering external support, you are eligible to apply for RCS monies. It is important, however, that you address the barriers that have prevented your success, particularly if you have been active for several years in your discipline and have not achieved federal competitiveness.

Questions regarding the Industrial Ties Research Subprogram (ITRS)

97. Q. There is no limitation on the type of third party match for ITRS proposals even if the specific in-kind support is a disallowed budgetary item for Support Fund monies. Is this correct?
- A. No. All matching funds must meet the same tests of allowability as Support Fund Money which is expended. Therefore any cost share or matching commitments disallowed by the Support Fund would be disallowed as private-sector match.
98. Q. We have a PI submitting an ITRS proposal. The company she’s working with is going to disclose a process for preparing some material that they want her to test. They want to keep the process confidential. I don’t see confidentiality addressed in the ITRS award. Could we sign an NDA with the company to cover their concerns?
- A. Yes. Non-Disclosure Agreements (NDAs) are between the university and the collaborative partner/s—not the Board of Regents. The BoR in accordance with section V.A.5 of the RFP will limit dissemination of, or access to, information certified to be of confidential or proprietary nature which falls into a category described by R.S.44:4(16).

99. Q. I am planning to apply to the BoR-ITRS program. The RFP states that "Grants, awards, and "in-kind" contributions received prior to June 1, 2016, may not be applied toward any matching commitments required during the contract term." If I get funding from industry starting in Nov 1, or Dec 1, 2016 for one year, can I use this as matching funds for the competition number 2016-08, the award for which will start in June 2017?
- A. Yes. First-year funding for R&D grants is budgeted from fiscal year funds prior to the starting fiscal year of the ITRS grant. Therefore pledged matching support must be from the same period—forward. Your industry match support starting November 1, or December 1, 2016 is acceptable. However, committed match support must be expended during the granting period.
100. Q. Must you have an industry partner to submit to the ITRS Program?
- A. No, but to be funded proposals must provide evidence that the project will (1) involve significant private-sector or Federal funding or, at a minimum, develop a plan to greatly increase the likelihood of receiving Federal or private-sector funding in the near future; or (2) result potentially in the enhancement or establishment of a Louisiana business or industry which will attract significant revenues to the state.
101. Q. Does the industry partner match have to be a cash contribution?
- A. No, in-kind contributions are also acceptable.
102. Q. I am completing an ITRS project this year. My collaborator and co-principal investigator on this project wishes to continue our research and expand its scope in collaboration with a new industrial sponsor. May my co-principal investigator submit a new proposal, or must he/she submit a continuation request?
- A. Your co-principal investigator should submit a continuation request, since he/she will be assuming the direction of an ongoing research project. Decisions to submit a new proposal or a continuation request should be based upon the nature of the research to be conducted, not upon changes in principal investigator or industrial partner(s).
103. Q. Must a rationale be submitted with an ITRS Notice of Intent?
- A. Yes.
104. Q. May funds from federal agencies, private foundations, and/or private industry be pledged as external matches on an ITRS proposal?

- A. Funds from federal agencies, private foundations, and business and industry may be pledged as external matches in ITRS, if these funds are obtained during the course of the grant and used for the specific purposes of the grant. Subject to Board approval, external reviewers are the ultimate judges of what does and does not constitute an acceptable external match. All other things being equal, and given the goals of the ITRS, matches from business and industry are preferred by the reviewers to other forms of external support.
105. Q. What types of governmental funding constitute preferred matches on ITRS proposals?
- A. Funding from governmental entities outside the State of Louisiana, which must be received during the course of the proposed ITRS grant, is preferred. Matches provided by Louisiana state and/or local governmental entities may not represent the leveraging of new external funds for the state. The ITRS Final Panel has final authority to recommend to the Board what types and amounts of external funding constitute an acceptable match.
106. Q. In the Industrial Ties Research Subprogram, how important is a show of strong industrial commitment for a proposal?
- A. Very. The R&D RFP states that "The specific objective of the ITRS is to fund research proposals with significant near-term potential for development and diversification of Louisiana's economic base...All proposals...in this subprogram should show evidence of involvement of the private sector...To be funded, proposals must provide evidence that the project will: (1) involve significant private-sector or Federal funding or, at a minimum, develop a plan to greatly increase the likelihood of receiving Federal or private-sector funding in the near future; or (2) result potentially in the enhancement of a Louisiana business or industry which will attract significant revenues to the State...In the case of proposals in non-science and non-engineering target areas (e.g., tourism), private sector involvement is not necessarily a requirement, if the applicant can justify the reason for lack of involvement... non-science/non-engineering proposals must, at a minimum: (1) present a plan to leverage Support Fund monies in the manner most appropriate to the proposal; and (2) demonstrate how they will promote and/or enhance economic development in the State."
107. Q. We have submitted a NOI for the ITRS. We already possess equipment provided by the federal government and are working at a site constructed by the federal government. Can we use this support as our external match?

- A. No. Matching funds for the ITRS must be expended during the course of the grant. Since you have already received this support, the federal funds used to provide equipment and construct a site would not constitute an acceptable match. Federal funds committed for expenditure during the course of the grant would constitute an acceptable match. All other things being equal, however, a proposal containing a private-sector match likely to create a new or enhance an existing Louisiana industry would be evaluated more favorably by the external reviewers.
108. Q. Does the commitment of personnel to a grant by an industrial or other private partner constitute an acceptable form of external match under the ITRS?
- A. Yes.
109. Q. Must private matches for ITRS grants come from in-state companies?
- A. No. But, if all other factors are equal, partnerships with Louisiana companies are preferred. One of the primary purposes of the ITRS is to promote economic development and diversification in Louisiana.
110. Q. I have received an ITRS award. Am I permitted to resubmit to this subprogram? If my resubmission is related to my previous proposal, should it be considered a continuation request?
- A. The answer to both questions is yes.
111. Q. In the ITRS, may funds be requested for technology transfer-related costs? For example, may funds be requested to sponsor a statewide or regional technology transfer conference?
- A. Funds may be requested for technology transfer-related costs as long as the applicant keeps in mind that the focus of the proposal must be on research.
112. Q. For a proposal submitted under ITRS, is a long-term relationship with a company required to be demonstrated before submitting the proposal?
- A. As stated in the RFP, all ITRS proposals must show evidence of significant involvement in the private sector (or significant federal funding). At the very least, a proposal must present a plan for the likelihood of providing industrial, private or federal commitment in the near future. The proposal goals must also show a potential result in the enhancement or establishment of a Louisiana business or industry that will attract significant revenues to the state.

Also, it should be noted that if an applicant is successfully funded, work on that project should not begin before June 1, 2017. Therefore, any awards,

cash, grants, or “in-kind” matching commitments cannot be applied prior to the commencement of the contract term, which for this funding cycle will be June 1, 2017, for all R&D contracts. In addition to being consistent with state contracting policies and regulations, this insures the matching commitment is applied as intended in the proposal.

113. Q. For ITRS proposals, what percentage of match from the industrial partner is required?

A. There is no “formula” for the percentage or for the amount of industrial match required. The out-of-state experts will determine if the industrial commitments are appropriate to accomplish the proposal goals.

114. Q. Are there sub-disciplines under the five (5) ITRS targeted industry sectors?

A. The targeted industry sectors for ITRS and PoC/P are purposely rather broad, and intended to represent technology “clusters.”

115. Q. Can a company that has established a relationship with an investigator be named as a ‘collaborator’ on the proposal? Can the collaboration be considered as a match commitment for an ITRS proposal?

A. Individuals who are not employed by an eligible Louisiana institution of higher education (e.g., out-of-state scholars, scientists, and/or engineers or employees of industry) may serve as consultants on applications; however, they may not be listed as principal or other investigators and must not be cited on the cover page of the proposal.

Matching industrial commitments may include cash or in-kind services that must be carefully documented and itemized in the appropriate sections of the proposal. The technical merits of the proposal along with the amounts and kinds of matching support will be evaluated by the out-of-state consultants during the proposal assessment and review process.

116. Q. For an ITRS proposal, can an adjunct faculty member serve as a co-investigator, be paid two months’ summer salary and also count his contribution in time as industrial/private sector match? What if he performs a large amount or most of the work?

A. If an adjunct professor is performing most of the work, he should serve as an Other Investigator. Only tenured, tenure-track or research professors employed on a full-time basis by an eligible Louisiana institution of higher education may act as principal or co-principal investigators. The university may provide release time or other forms of support as institutional match. However, as for summer salary, we understand adjunct faculty are usually paid “by the course”; additionally it would not be appropriate to count

release time as institutional match. Any salary he is being paid by private industry could be counted as industrial match. While funds may be requested for salary support for Other Investigators, these requests must be well justified. The role of any researcher who serves as a consultant or as an advisor should be carefully documented in the appropriate sections of the proposal.

117. Q. I am preparing an ITRS proposal that will involve the private sector, specifically a Louisiana-based startup company of the LLC type. The founder of the company is also a university professor at my institution. Can the founder of the company (who is also a university professor) serve as co-principal investigator or other investigator on this ITRS proposal? My colleague/industry partner has agreed to provide supplies and there would be no request for salary support.
- A. This situation is highly unusual. Although there is nothing in the RFP that would strictly prohibit this individual (colleague/industry partner-CEO) from serving as a co-PI on the project, it does have the appearance of a conflict of interest. Therefore this dual role participation in the project would be strongly discouraged. The RFP does, however, state that any investigator listed in the proposal who has any financial affiliation with a private-sector supporter must fully disclose this affiliation and provide a certified letter signed by the institution verifying that no significant conflict of interest exists. Failure to report this information may result in disqualification of the proposal.

Questions regarding the Proof of Concept/Prototype Initiative (PoC/P)

118. Q. I am a researcher professor at my institution and submitted a letter of intent for the PoC/P program. I'm currently working on the proposal and since this is a new program, I understand there is no history of reports or past funded proposals. However, I have been looking at the ITRS consultant reports to get some direction. Do you believe that looking at these reports would be helpful in guiding my PoC/P proposal development? What are the key differences between the two? From my understanding, the PoC/P program is more about funding development with commercialization opportunities whereas the ITRS proposals involve actual industry partnerships. Also, the ITRS proposals indicate industry funding in addition to their budget request...do we need to show additional funding when submitting a PoC/P proposal? It is my understanding that the Board of Regents does like to see cost sharing in these situations.
- A. The Proof of Concept/Prototype Initiative (PoC/P) was formerly known as the Opportunities for Partnerships in Technology with Industry (OPT-IN) previously administered through the BoRSF LA-EPSCoR program. The goal of the PoC/P initiative is to advance innovation toward commercialization and/or technology transfer rather than research-

focused projects. There are past funded OPT-IN proposals and reports available upon request through Louisiana EPSCoR to help you in developing your proposal. Finally, please reference the RFP section III.F. COST SHARING, MATCHING COMMITMENTS, AND INDIRECT COST RATE for PoC/P applications, which indicates that letters of support are required from your institutional administrator and strongly encouraged from potential users/developers/investors of the prototype. ITRS applications require “up front” matching commitments from the private/federal sector for at least the first year.