

**UWM RESEARCH GROWTH INITIATIVE® 2018**  
**REQUEST FOR APPLICATIONS**

**DEADLINE: 5:00:00 PM ON TUESDAY, OCTOBER 24, 2017**

## **Program Overview**

The UWM Research Growth Initiative® (RGI) is an internal seed funding program that supports high-quality research projects in the early stages. Its objective is to increase UWM’s research productivity, scholarship, creative endeavors, collaborative projects, and external funding by investing in projects selected through an independent and objective process.

### **Eligible Projects:**

1. Early-stage research projects in need of seed funding for data collection, archival work, and establishing proof-of concept.
2. Will have a 12- to 18-month timeline.
3. Will lead to the submission of competitive proposals for externally funded—and thereby self-sustaining—individual and collaborative research through grants, fellowships, or university/industry partnerships.

### **Eligible Project Expenses**

- **UWM personnel:** Post-docs, research assistants, and hourly students.
- **Non-UWM personnel:** Payments to non-UWM personnel or agencies on a fee-for-service basis.
- **Capital expenditures** (defined for this project as renovations, software, or equipment with a cost of \$10,000 or more per unit/system that has a lifetime beyond the project). **Cost-sharing at 50% is required for all capital expenditures.**
- **Other Expenses** such as materials and supplies, travel, user fees, purchase of services, and publication costs.
- **One course release (faculty only)**

### **Applicant Eligibility**

- Applicants must have UWM faculty or academic staff appointments, Principal Investigator status, and the expectation of a continuing appointment. **Lead PIs may submit only one proposal per application cycle,** although they can be co-PIs on other proposals.
- Individuals who have received an RGI award as a PI in the last two years (funding began July 2016 or July 2017) are **ineligible** to apply for the 2018-19 funding cycle.
- Future UWM faculty and researchers with appointments beginning in Spring or Fall 2018 are eligible to apply. A UWM e-mail address is required. For faculty and researchers starting in the fall, funds will not be released until August 2018.
- Those who have not submitted final reports for past RGI, Research Committee, FRACAS or RACAS awards are **ineligible** to apply.

### **RGI and Catalyst Grants**

Please notify Kathleen Koch ([kjk@uwm.edu](mailto:kjk@uwm.edu)) if you intend to submit essentially the same proposal to the UWM RGI program and the UWM Research Foundation’s Catalyst Grant program.

### **2018-2019 RGI Funding Cycle**

<b>Application Available</b>	<b>Submission Deadline</b>	<b>Proposal Review</b>	<b>Award Announcement</b>	<b>Funds Available</b>
By Sept. 18, 2017	<b>Tuesday, October 24, 2017 5:00:00 p.m.</b>	Jan.-Feb. 2018	Early April 2018	July 2018

## Secure Online Application System

- Access the online application system and follow the prompts to start a New Application.
- All parts of the application are Mac- and PC-compatible.
- Save your application frequently while working in the secure Web site. The application does not have to be completed in one session; you may exit and return to the application from your last saved session. You can edit any section until you submit your application.
- The online system allows “cut and paste” functions in the application boxes.
- After the submission deadline, the proposal will be routed electronically for approval by the applicant’s Department Chair and Dean or Director. **WISPER records are NOT used for RGI.**

## Required Application Sections

1. **Application Information**, entered into the secure Web site
2. **Project Narrative (includes Projection Description, References)**, uploaded as a Word file (most applicants) or PDF file (if composed in LaTeX)
  - Project Description (maximum six pages single-spaced, excluding references)
  - References (no page limit)
3. **Supporting Documentation** with the following sections (template provided), uploaded as a Word file:
  - Budget Justification
  - Access to Facilities, Equipment, and Other Resources not included in budget (maximum one page)
  - Project Timeline Milestones (up to 10)
  - Project Outcomes
  - Potential for External Funding
  - Potential for Commercialization (if applicable)
  - Comparison with Similar Projects
4. **Biosketch(es)** (maximum five pages), uploaded to the application Web site as PDF file(s)
5. **Project Budget**, use the Excel template provided; uploaded to the application Web site
6. **Letters of Collaboration are optional**, uploaded to the application Web site as PDF or Word files  
To convert documents to PDF, you can:
  - Save the document as a PDF within Word
  - Use Adobe Acrobat (available on all campus computers)
  - Download the free CutePDF Writer at <http://www.cutepdf.com/>

**You may make changes, including uploading other versions of files, until you click “Submit Proposal”. Once submitted, no changes are allowed, even if it is before the deadline.**

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## *Instructions*

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### **1. Application Information**

The following application information is entered directly into the secure Web site:

- Principal Investigator: name, department
- Co-PIs: name, email address
- Project title
- Search terms
- Abstract (maximum 500 words)
- Suggested external reviewers
- Start-up funds (Assistant Professors only)

#### **Suggested External Reviewers**

You are required to enter the names and contact information for a **minimum of SIX suggested external reviewers** for your proposal. The reviewers should be nationally recognized in the field of expertise related to your work. Do not recommend individuals with whom you or any named person on the proposal may have a conflict of interest. Conflict of interest for the RGI program is defined as evidence of any of the following:

- Known family relationship.
- Business or professional partnership.
- Past or present association as thesis advisor or thesis student.
- Collaboration or co-authorship on a project or publication within the last 24 months.
- Competitive concerns.
- Reviewing prior versions or the final version of a submitted RGI proposal at the request of the PI or Co-PIs.

External reviewers are selected based on their expertise, breadth, independence, past experience with proposal review, and successful funding record. Reviews must contain evaluative comments to be accepted. The Office of Research reserves the right to identify other qualified reviewers.

#### **Start-up Funds**

If you are an Assistant Professor, explain why the project cannot be completed from your start-up funds. For all other applicants, check the box “I am not an Assistant Professor”.

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### **2. Project Narrative**

All pages must have at least one-inch margins. Allowed fonts are Arial, Tahoma, Times New Roman, Georgia, or Computer Modern; minimum font size is 11 points. Upload as a Word [.docx] file (most applicants) or PDF file (if composed in LaTeX). Enter the project title as a header.

#### **2.1 Project Description– LIMIT 6 PAGES Single-Spaced (including figures, tables, charts, etc.)**

Within the norms of your discipline, include the following as appropriate:

1. Background, theoretical framework.
2. Description of project:
  - a. Specific hypotheses, aims/goals, objectives, and rationale for the project.
  - b. Significance of research and how it will lead to improvements in the field, knowledge, and practice.
  - c. Project activities and methods, including potential impediments to completion as well as alternative approaches. Describe how the project will be assessed, analyzed, or interpreted (including measurement tools and benchmarks for success). As applicable, include sample sizes, or the selection criteria for subjects.
  - d. Roles/contributions of research team members.

### 3. Figures, tables, charts

## 2.2 References (as needed in support of the Project Description)

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### 3. Supporting Documentation

The template provided includes the following sections. Do not change the page margins. Allowed fonts are Arial, Tahoma, Times New Roman, Georgia, or Computer Modern; minimum font size is 11 points.

**Do not leave any section blank; enter N/A if not applicable.**

#### 3.1 Budget Justification

Provide a brief rationale for items requested in your budget. Make sure there is consistency among the Project Narrative, Project Budget, and Budget Justification for the items requested. In the template, you may delete any category or subcategory that does not apply to your project.

#### 3.2 Access to Facilities, Equipment, and Other Resources NOT included in the budget

Describe the resources necessary to complete the project (e.g., equipment, space, collections, sites, archives) other than those requested in the budget, and describe your access to them. Enter N/A if not applicable.

#### 3.3 Project Timeline Milestones

Milestones indicate completion of significant tasks or critical steps during the project. List no more than 10 milestones with their anticipated completion dates. Some examples are completion of a survey tool, completion of data collection, isolation of a stable isomer.

#### 3.4 Project Outcomes

List anticipated scholarly/creative outcomes with the expected completion date. Some examples are submission of an article or manuscript for publication (name the expected journal or publisher), public performances, or exhibitions.

#### 3.5 Potential for External Funding

Identify appropriate sources of extramural funding, including sponsor name, name/type of award, and estimated budget request for sustaining the proposed project beyond the RGI funding period.

#### 3.6 Potential for Commercialization (where applicable)

List any potential commercialization opportunities (e.g., licenses, patents, spin-off companies) that may come from this project, and provide an estimated timeline, if applicable. If none, enter N/A.

#### 3.7 Comparison with Similar Projects

Describe how this RGI proposal differs from similar projects for which you already have received internal or external funding, or for which funding is pending. Enter N/A if not applicable.

**Do not leave any section blank; enter N/A if not applicable.**

Save the completed template and confirm that the individual sections do not exceed the stated word or page restrictions. Upload the completed template to the application Web site.

#### **4. Biosketches – LIMIT 5 PAGES EACH**

Upload biosketches (as PDF files) for the PI and all Co-PIs. Please use Arial, Tahoma, Times New Roman, Georgia, or Computer Modern font, minimum size 11 points, for consistency with the rest of the application.

You may use the standard biosketch format for NSF, NIH, or NEH proposals; however, **each biosketch must include the following information (items a-d):**

**a. Professional Preparation**

*Undergraduate Institution(s)*

Name, Location

Major

Degree & Year

*Graduate Institution(s)*

Name, Location

Major

Degree & Year

*Postdoctoral Institution(s)*

Name, Location

Research Area

Inclusive Dates (years)

**b. Appointments**

In reverse chronological order list your academic/professional appointments, beginning with your current appointment.

**c. Publications**

List up to five recent publications representative of your research. Manuscripts accepted for publication may be listed (include the anticipated date of publication).

**d. Current and Pending Support**

List your currently funded and pending grant projects, including internal and external grants. Include the project title, your role on the project, funding source, program name, and the amount awarded or requested, and the award period.

The following sections are not required, but useful for identifying potential conflicts of interest in selecting reviewers:

**e. Collaborators or Co-authors**

In alphabetical order list all persons and their current organizational affiliation who are currently, or who have been collaborators or co-authors, with you on a project, book, article, report, abstract or paper during the 24 months preceding the submission of the proposal.

**f. Co-editors**

In alphabetical order list all persons and their current organizational affiliation who are currently, or have been co-editors with you, on a journal, compendium, or conference proceedings during the 24 months preceding the submission of the proposal.

**g. Graduate Advisors and Postdoctoral Sponsors**

List your own graduate advisor(s) and principal postdoctoral sponsor(s), and their current organizational affiliations.

**h. Thesis Advisor and Postgraduate-Scholar Sponsor**

List all persons (including their organizational affiliations) over the last five years with whom you have had an association as thesis/dissertation advisor, or for whom you have served as a postgraduate-scholar sponsor.

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## **5. RGI Budget – USE THE CURRENT RGI BUDGET TEMPLATE**

The RGI application includes a required Excel budget template. Do NOT use RGI budget templates from previous years or the template for extramural awards.

1. Save the Excel file to your computer. You **MUST** use Microsoft Excel 2007 or later to edit the budget. (LibreOffice and similar products are not compatible.)
2. Specific instructions are on the first worksheet. The template that must be completed is on the second worksheet.
3. Save your file in the Excel 2007-2013 (.xlsx) format.
4. Upload the completed Excel file to the application Web site.

### **Eligible Expenses**

The RGI aims to give researchers what they need to successfully complete the early phase of a project.

A broad list of eligible expenses includes:

- Course buyout: each UWM faculty member who is a PI or Co-PI on a proposal may request one course buyout
- UWM Personnel
  - post-doctoral research associates
  - research assistants – must be a minimum of 33% (may combine with other assistantships to reach this minimum)
  - student hourly help
- Capital expenditures (defined for this project as renovations and equipment that cost \$10,000 or more per unit/system and have a lifetime beyond the project). Capital expenditure requests must be part of a specific research project. **Cost-sharing at 50% is required for all capital expenditures**
- Materials and supplies
- Purchase of services needed for the project
- Publication costs
- Travel to conduct the project (no limit)
- Travel to disseminate results of the project (limited to \$3,000)

### **Ineligible Expenses**

Ineligible expenses include, but are not limited to:

- Faculty summer or sabbatical salary.
- Direct salary payments to non-UWM faculty. All external work must be done on a fee-for-service basis.

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## **6. Letters of Collaboration - OPTIONAL**

Letters from collaborators documenting their participation on the project, or permitting access to facilities or equipment, are optional. The letters are welcomed from:

- Directors of facilities that will be used in the project (UWM and non-UWM)
- External participants (non-UWM) who are integral to the project
- UWM collaborators who are not listed in the budget

Upload as PDF or Word files in the final section of the application Web site.

## Proposal Submission

**Submission Deadline: Tuesday, October 24, 2017 at 5:00:00 p.m.**

### To submit your final proposal:

1. Complete the Application Information in the Web site.
2. Upload biosketches of the PI and Co-PIs (PDF).
3. Upload the Project Narrative (Word [.docx] for most applicants; PDF for LaTeX users)
4. Upload the Supporting Documentation (completed Word.docx template).
5. Upload the completed Budget Spreadsheet (Excel).
6. Optional: Upload letters from collaborators (PDF or Word).
7. You can review and change all components of the application until you submit it. When you are satisfied with the proposal, click the SUBMIT PROPOSAL button in the Web application. After submitting the proposal, you will no longer be able to make changes or additions (even if it is before the deadline). You will receive an e-mail confirming the submission.
8. WISPER records are NOT used for RGI.

### Internal Approvals

Review and approval by the lead PI's Department Chair, Director or Unit Head, and the corresponding Dean or designee occurs after the PI submits the proposal. Approvals do not need to be completed by the application deadline.

## RGI Review Process

The RGI employs a two-stage selection process.

### *Stage 1: Scientific/Scholarly Review*

All proposals are externally reviewed for scientific/scholarly merit according to four criteria, each rated on a scale from 1 to 5 (highest to lowest).

- **Significance:** Potential of the project to build upon and advance established knowledge or the state of the art.
- **Work Plan:** Description of activities, methods, roles of personnel, rationale for approach, assessment measures.
- **Potential for External Funding:** Sources for sustaining the project beyond the seed funding period
- **Resources:** People, space, equipment, access to collections or sites, budget.

### *Stage 2: Award Selection*

Funding decisions are made by Office of Research leadership, taking into account final ratings and review comments. Additional considerations:

- For applicants with prior RGI awards, significant factors in the funding decision are performance in meeting prior projects' milestones and deliverables, and the submission of outcome reports.
- For applicants with extramural awards, preference will be given to applicants who have made regular expenditures on the awards.
- Awards will not be given to applicants on notice of non-retention or who have accepted offers at other institutions.
- Collectively, the awards will comprise a balanced portfolio across disciplines.

## General Terms and Conditions of RGI Awards

1. By accepting an RGI award you agree to ensure the project is executed in compliance with all applicable federal and state laws/regulations and institutional policies., including but not limited to those concerning HIPAA, human subjects, and animal care and use.
2. You are also required to obtain institutional approvals for:
  - Use of toxic, infectious, or carcinogenic/mutagenic materials, recombinant DNA, radioactive materials.
  - Environmental impacts.
  - Scuba diving.
  - Remodeling or construction.

### ***Award Budget***

The final award amount is subject to negotiations with the Office of Research. Details on accounting for the funds will be included with the award letter.

### ***Return on Investment***

By accepting an award you agree to submit extramural funding requests to continue this research at a minimum of three times the total award value, including both project funds and additional project costs, as specified in the award budget.

### ***Intellectual Property***

Per standard practice and in accordance with UW System Patent Policy, you, your Co-Principal Investigators, and other project personnel, including graduate student assistants, agree to assign ownership of all intellectual properties conceived or reduced to practice as a result of this RGI award to the University for protection and development as the University deems appropriate.

### ***Publications***

We request that you duly acknowledge “UWM Research Growth Initiative<sup>®</sup>” support in any publication resulting from your RGI project.

### ***Final Report***

At the conclusion of your project, you must report on the outcomes of the RGI funding.

## Contact Us

### **Program Officer**

Kathleen Koch  
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[kjk@uwm.edu](mailto:kjk@uwm.edu)

### **Technical Assistance**

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