

TARGETED EXCELLENCE PROGRAM

FULL PROPOSAL GUIDELINES

2008-2009

A. OVERVIEW

This document provides guidance for the preparation and submission of full proposals to the Kansas State University “Targeted Excellence Program.”

B. THE PROPOSAL

The proposal should present the (1) objectives and the significance of the proposed project in relation to the goals of the Targeted Excellence initiative; (2) the methodology, along with reasonable justification regarding the suitability of the methods to be employed; (3) the anticipated results of the activity towards the achievement of the Targeted Excellence goal “to enhance those programs with the most promise of elevating the university’s stature”, in relation to KSU’s strategic plan to achieve the status of a Top-Ten Land Grant Institution; (4) qualifications of the principal investigator and the proposed project team; (5) amount of funding required. **Note:** Matching funds are not required, however, in specific cases matching funds may provide an increased competitive advantage.

Sufficient information should be provided so that both internal and external reviewers will be able to evaluate the proposal in accordance with the *Targeted Excellence Guiding Principles and Phase II* guidelines (<http://www.k-state.edu/provost/TargetedExcellence/index.html>). When suggesting potential reviewers, be careful to avoid recommending individuals with whom you might have potential conflicts of interest. Provide a brief synopsis of your past associations with the suggested reviewers.

In addition, two broad, overarching concepts will underlie the process of evaluation for each proposal, along with three subsidiary considerations: intellectual merit and the potential for broader impact, especially as it serves to enhance programmatic strengths and interactions at Kansas State University, are of primary importance and will be weighted equally; other factors, such as benchmarks to measure success, sustainability, and feasibility will also be considered. No new tenure track faculty positions will be funded through Targeted Excellence in this round.

C. WHEN/WHERE TO SUBMIT PROPOSALS

Final proposals must be submitted to PreAward Services (Room 2 of Fairchild Hall) no later than February 2, 2009, but if you want to take advantage of their assistance in refining your proposal, they will need it at least one week before that date. Proposers must include the KSU Sponsored Projects Transmittal Sheet, available from the PreAward Services website (<http://www.ksu.edu/research/forms/preaward/index.htm>)

with their submissions. Project Director(s) are encouraged to submit proposals to the PreAward Services office to allow the PreAward Service professionals the opportunity to review your proposal package for completeness prior to its submission for peer review.

D. HOW TO SUBMIT PROPOSALS

1. CONFORMANCE WITH INSTRUCTIONS FOR PROPOSAL PREPARATION

To facilitate a consistent and expedient review of these proposals by the reviewers, it is important that the proposals conform to the instructions provided in this proposal guideline.

2. FORMAT OF THE PROPOSAL

a. Proposal Pagination Instructions

Proposals must be paginated as one complete document.

b. Proposal Margin and Spacing Requirements

Proposals must have one-inch margins at the top, bottom and on each side. The text should be a standard Arial or Times New Roman 12-point font, single-spaced.

3. PROPOSAL CONTENTS

a. Cover Sheet

A similar cover page as required with the preproposals should be used for this submission. It should include (a) project title, (b) brief project description, (c) potential impact/intellectual merit, (d) dollar amount requested, plus any matching funds secured and the total project cost, (e) Project Director(s) and team members (including name, title and Department), (f) submission date, and (g) signatures of the Project Director(s), relevant Department Chair(s), and Dean(s).

b. Project Summary

The proposal must contain a summary of the proposed activity, not more than one page in length. It should not be an abstract of the proposal, but rather a self-contained description of the activity that would result if the proposal were funded. The summary should be written in the third person and include a statement of objectives and methods to be employed. It must clearly address in separate statements (within the one-page summary): (1) the intellectual merit of the proposed activity; and (2) the broader impacts resulting from the proposed activity. It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader.

c. Table of Contents

A Table of Contents should be included for the proposal listing section headings and page numbers.

d. Project Description

(i) Content

The Project Description should provide a clear statement of the work to be undertaken and must include: objectives for the period of the proposed work and expected significance; relation to the Targeted Excellence program goals and the longer-term goals of the project team; and relation to the present state of knowledge of activities in the field.

The Project Description should outline the general plan of work, including the broad design of activities to be undertaken, and, where appropriate, provide a clear description of the methods and procedures and plans for preservation, documentation, replication and sharing of data and results. It must describe as an integral part of the narrative, the broader impacts resulting from the proposed activities, addressing the following as appropriate for the project: how the project will integrate research and education by advancing discovery, understanding, and implementation, while at the same time promoting teaching, training, and learning; ways in which the proposed activity will broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.); how the project will enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships; the plan for and likelihood of project sustainability, including sustainable sources of support and any anticipated obstacles that must be overcome; how the results of the project will be disseminated broadly to enhance programmatic, scientific and/or technological understanding; and potential benefits of the proposed activity to the university's strategic plan.

(ii) Page Limitations and Inclusion of Universal Resource Locators (URLs) within the Project Description

Brevity will assist reviewers in effectively evaluating proposals. Therefore, the Project Description **may not exceed 15 pages**. Visual materials, including charts, graphs, maps, photographs and other pictorial presentations are included in the 15-page limitation. Proposers are advised that the project description must be self-contained and are cautioned that URLs (Internet addresses) that provide information necessary to the review of the proposal should not be used because reviewers are under no obligation to view such sites.

e. References Cited

Reference information is required. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the Website address also should be identified. While there is no established page limitation for the references, this section must include bibliographic citations only and must not be used to provide parenthetical information outside of the 15-page project description.

f. Curriculum Vitae

A curriculum vitae (limited to 3 pages) is required for each Project Director and for senior project personnel. The following information must be provided in the order and format specified below:

(i) Professional Preparation

A list of the individual's undergraduate and graduate education and postdoctoral training as indicated below:

Undergraduate Institution(s)	Major	Degree & Year
Graduate Institution(s)	Major	Degree & Year
Postdoctoral Institution(s)	Area	Inclusive Dates (years)

(ii) Appointments

A list, in reverse chronological order, of all the individual's academic/professional appointments beginning with the current appointment.

(iii) Publications

A list of publications most closely related to the proposed project. Each publication identified must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the Website address also should be identified.

For unpublished manuscripts, list only those submitted or accepted for publication (along with most likely date of publication). Patents, copyrights and software systems developed may be substituted for publications. Additional lists of publications, invited lectures, etc., must not be included.

(iv) Synergistic Activities

A list of up to five examples that demonstrate the broader impact of the individual's professional and scholarly activities that focuses on the integration and transfer of knowledge as well as its creation. Examples could include, among others: innovations in teaching and training (e.g., development of curricular materials and pedagogical methods); contributions to the science of learning; development and/or refinement of research tools; computation methodologies, and algorithms for problem-solving; development of databases to support research and education; broadening the participation of groups underrepresented in science, mathematics, engineering and technology; and service to the scientific and engineering community outside of the individual's immediate organization.

(v) Current and Previously Completed Project References

This section should provide a listing of current, as well as previously completed projects (within the last 5 years) from all sources of funding. The listing should include the title of each project, the source of funding, amount of funds received, the dates of the project period, your role in that project, as well as the time commitments for all of the projects that are current.

This information will be used to evaluate the project team qualifications and time availability in regards to the potential for successful completion of the project under consideration.

g. Budget

Each proposal must contain a budget. An Excel budget template is available on the ORSP website at <http://www.ksu.edu/research/forms/preaward/index.htm> and should be used as part of this proposal submission. The template includes a worksheet for each year (up to five years) and Budget Summary pages that automatically fill based on the information provided in the Budget Worksheets. A Frequently Asked Questions page, providing basic information for budget calculations, is also available in Word and PDF format at this website.

When printing the budget of your proposal, please print from the Budget Summary tab within the Excel file. This worksheet, which automatically fills based on information you provide, includes yearly summary pages (up to five years) as well as a project summary page for submission.

When inputting information in the Budget Worksheet, cells that contain yearly and category totals are designed to automatically calculate based on the information input. Adjustments to the cells containing formulas may be made as needed.

The budget forms provided on the ORSP research website are recent additions meant to ease the budget preparation process for Project Directors. If problems are encountered when using this form, please request assistance by calling PreAward Services at 532-6804. Any comments or recommendations for improving this form are also welcome.

Completion of the budget forms does not eliminate the need to document and justify the amounts requested in each category. A budget justification of up to three pages is necessary for detailed justification and documentation. This is not considered part of the 15-page project description.

(i) Salaries and Wages (Sections A and B on the Proposal Budget)

The names of the PI(s), faculty, and other senior personnel and the estimated number of full-time-equivalent academic-year, summer, or calendar-year person-months for which funding is requested and the total amount of salaries per year must be listed. For postdoctoral associates and other professionals, the total number of persons for each position must be listed, with the number of full-time-

equivalent person-months and total amount of salaries per year. For graduate and undergraduate students, secretarial, clerical, technical, etc., whose time will be charged directly to the project, only the total number of persons and total amount of salaries per year in each category is required. Salaries requested must be consistent with KSU's regular practices. The budget justification should detail the rates of pay by individual for senior personnel, postdoctoral associates, and other professionals. No new tenure track faculty positions will be funded through Targeted Excellence in this round.

The budget may request funds for support of graduate or undergraduate research assistants to help carry out the proposed activities. Compensation classified as salary payments must be requested in the salaries and wages category.

(ii) Fringe Benefits (Section C on the Proposal Budget)

Grant funds should be requested to fund fringe benefits as a direct cost. Fringe Benefits are automatically calculated on the budget form, but additional information is available at <http://www.ksu.edu/research/preaward/fringe.htm>.

(iii) Equipment (Section D on the Proposal Budget)

Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more and an expected service life of more than one year. Items of needed equipment must be listed individually by description and estimated cost and adequately justified as necessary for the successful completion of the project.

(iv) Travel (Section E on the Proposal Budget)

Travel and its relation to the proposed activities must be specified and itemized by destination and cost. Funds may be requested for fieldwork, attendance at meetings and conferences, and other travel associated with the proposed work. In order to qualify for support, however, attendance at meetings or conferences must enhance the attendees' ability to perform the work, plan extensions of it, or disseminate its results.

(v) Participant Support (Section F on the Proposal Budget)

This budget category refers to costs of transportation, per diem, stipends and other related costs for participants or trainees (but not employees) in connection with sponsored conferences, meetings, symposia, training activities and workshops. The number of participants to be supported must be entered in the parentheses on the proposal budget. These costs also must be justified in the budget justification section of the proposal.

(vi) Other Direct Costs (Section G on the Proposal Budget)

Any costs charged to the grant must be reasonable and directly allocable to the supported activity. The budget must identify and itemize other anticipated direct costs not included under the headings above, including materials and supplies,

publication costs, computer services and consultant services. Examples include aircraft rental, space rental away from the grantee organization, minor building alterations, payments to human subjects, service charges, tuition remission, and construction of equipment or systems not available off the shelf.

(a) Materials and Supplies (Line G1 on the Proposal Budget)

The proposal budget must indicate the general types of expendable materials and supplies required, with their estimated costs. The breakdown should be more detailed when the cost is substantial.

(b) Publication/Documentation/Dissemination (Line G2 on the Proposal Budget)

The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the grant. This generally includes the following types of activities: reports, reprints, page charges or other journal costs (except costs for prior or early publication); necessary illustrations; cleanup, documentation, storage and indexing of data and databases; development, documentation and debugging of software; and storage, preservation, documentation, indexing, etc., of physical specimens, collections or fabricated items.

(c) Consultant Services (Line G3 on the Proposal Budget)

Anticipated consultant services must be justified and information furnished on each individual's expertise, primary organizational affiliation, normal daily compensation rate, and number of days of expected service. Consultants' travel costs, including subsistence, also may be included.

(d) Computer Services (Line G4 on the Proposal Budget)

The cost of computer services, including computer-based retrieval of scientific, technical and educational information, may be requested. A justification based on the established computer service rates must be included.

(e) Tuition (Line G5 on the Proposal Budget)

The budget may request funds for support of graduate or undergraduate research assistants to help carry out the proposed research. Any direct costs requested for tuition remission must be listed on this line.

(f) Subawards (Line G6 on the Proposal Budget)

Except for the procurement of such items as commercially available supplies, materials, equipment or general support services allowable under the grant, no significant part of the research or substantive effort under a grant may be contracted or otherwise transferred to another organization without prior authorization. The intent to enter into such arrangements must be disclosed in

the proposal. At a minimum, the disclosure must include a clear description of the work to be performed, and the basis for selection of the subawardee (except for collaborative/joint arrangements) and a separate budget for each subaward. It should be noted that State Purchasing Procedures govern this activity as well, thus standard bidding procedures apply.

The PreAward Services (PAS) Budget Template (<http://www.ksu.edu/research/forms/preaward/index.htm>) may also be used to develop subaward budgets. Proposers should start a new file for each subaward by reopening the original file and saving it again using a different filename. The title on the budget worksheets should so indicate if a file is a subaward budget for a particular project.

(g) Other (Line G7 on the Proposal Budget)

Any other direct costs, such as service fees, postage, etc. not specified in Lines G1 through G6 must be identified on Line G7. Such costs must be itemized and justified in the budget justification.

(vii) Total Direct Costs (Section H on the Proposal Budget)

The total amount of direct costs requested by the proposer, to include Lines A through G, is automatically entered on Line H.

(viii) Indirect Costs (also known as Facilities and Administrative Costs (F&A) for Colleges and Universities) (Section I on the Proposal Budget)

As this is an internally funded KSU program, Facilities and Administrative Costs do not need to be included in the project budget. Please leave this section blank on your budget worksheets.

(ix) Total Project Costs (Section J on the Proposal Budget)

The total amount of direct and indirect costs (F&A) (sum of Lines H and I) is automatically entered on Line J.

(x) Matching (Section K on the Proposal Budget)

The total of all matching commitments should be listed on this line and explained in the budget justification.

h. Facilities, Equipment and Other Resources

This section of the proposal is used to assess the adequacy of the project resources available to successfully perform the project. Proposers must indicate that they have arranged for the necessary space, equipment and other resources necessary to complete the project as proposed.

i. Special Information and Supplementary Documentation

This section should be used to include details regarding important collaborations, partnerships, etc., including letters of commitment and participation from those making such commitments of participation.

4. COMPLIANCE ISSUES

For projects involving the use of vertebrate animals, human subjects or biohazards, approval from the appropriate KSU Compliance Committee must be obtained prior to the initiation of the project. Applications for these compliance issues may be obtained at:

<http://www.ksu.edu/research/comply/>

APPENDIX A - PROPOSAL PREPARATION CHECKLIST

	Proposal Format (ensure compliance with font and margin requirements.)
	List of suggested reviewers
	Transmittal Sheet
	Project Summary (one page only with both merit review criteria separately addressed within the body of the Summary)
	Project Description (<u>15 page limitation</u>)
	References Cited (No page limitation, however, this section must include bibliographic citations only and must not be used to provide parenthetical information outside of the 15 page Project Description. Each reference must be in the specified format.)
	Biographical Sketch(es) (3 page limitation, required for all senior project personnel. The required information must be provided in the order and format specified.)
	Proposal Budget (worksheet and summary pages)
	Budget Justification (3 page limitation per proposal)
	Cost Sharing
	Facilities, Equipment and Other Resources
	Special Information and Supplementary Documentation
	Compliance Information (if required)