

# **UNIVERSITY OF WISCONSIN SYSTEM**

## **REQUEST FOR PROPOSALS**

### **UW System Applied Research Grant Program, 2010-2011 and Joint UW System-WiSys Applied Research-WiTAG (WiSys Technology Advancement Grant) Program, 2010-2011**

**UW System, in collaboration with WiSys Technology Foundation, offers two research grant programs to UW faculty: the Applied Research Grant Program and a joint Applied Research-WiTAG (WiSys Technology Advancement Grant) Program. Both grant programs are closely tied to the goals of UW System's Growth Agenda for Wisconsin—goals that include a plan to develop advanced human potential and the knowledge economy that employs that potential. In particular, the Applied Research and Applied Research-WiTAG programs help to promote technology transfer and economic development throughout the state.**

**The UW System-sponsored Applied Research Grant program offers one-year awards for up to \$50,000 or, for collaborative proposals, up to \$50,000 per participating institution. Faculty and staff in all disciplines on all UW campuses are eligible to apply. Award recipients should consult the appropriate technology transfer agent in order to maximize the potential for intellectual property (IP) protection for IP created using Applied Research Grant funding.**

**The WiSys Technology Advancement Grant (WiTAG) program offers a maximum of \$150,000 in funding over a three-year period in science and technology fields only. The UWSA and WiSys collaboration in the joint Applied Research-WiTAG program allows eligible faculty to apply for funding from both programs with one application. *UW-Madison and UW-Milwaukee researchers are not eligible for Applied Research-WiTAG awards; however, Madison or Milwaukee faculty may collaborate on Applied Research-WiTAG proposals submitted by other UW campuses. Intellectual property created using Applied Research-WiTAG funding must be assigned to WiSys.***

**UW System will work with the appropriate technology transfer agent to monitor the scientific progress of the funded projects on a regular basis.**

**Pre-proposal (voluntary) deadline for both programs: November 9, 2009  
Full proposal deadline for both programs: January 15, 2010**

Pre-proposals must not exceed two pages in length and can be submitted electronically at [www.wisys.org](http://www.wisys.org) or sent via postal or campus mail (one hard copy) and must be received at WiSys no later than November 9, 2009.

One (1) hard copy of each FULL proposal or an electronic version, either in Acrobat pdf (preferred) or Word doc format must reach WiSys by 5:00 p.m. on January 15, 2010.

## **Submitting Your Applications**

There are two ways to submit pre-proposals and full proposals:

- Send one hard copy by mail to Ally Hauser  
WiSys Technology Foundation  
614 Walnut Street, 13<sup>th</sup> Floor  
Madison, WI 53726
- Submit your application online at <https://www.wisys.org/forresearchers/>

If you have questions regarding the Grants program, please contact Carmen Faymonville [cfaymonville@uwsa.edu](mailto:cfaymonville@uwsa.edu) at 608-263-2046 or Ally Hauser [ahauser@wisys.org](mailto:ahauser@wisys.org) at 608-890-2660.

# **APPLIED RESEARCH GRANT ELIGIBILITY AND CONDITIONS**

## **INTRODUCTION**

The purpose of the **Applied Research Grant** program is to encourage faculty and academic staff to apply their expertise and scholarship to the economic development of Wisconsin. The state legislature and governor make approximately \$350,000 available annually for the support of applied research activities that are likely to improve the connections between knowledge and practice, while promoting positive change in the state's economy. Potential benefits of these activities include fostering business expansion and improving profitability, creating jobs and enhancing workforce quality, reducing costs and increasing efficiency, and improving the quality of Wisconsin's products and services.

Proposals are invited from faculty and staff in all academic disciplines, including humanities, social sciences and liberal arts. Funding is available for one year to researchers at all UW institutions. The UW System and WiSys will maintain the full confidentiality of all submitted grant applications and documents.

### **Eligibility**

Faculty and academic staff employed at least half-time in a UW System institution are eligible to apply. Proposals may request a maximum of \$50,000 of state funding (for one year) or, for collaborative proposals, a maximum of \$50,000 per participating institution. All expenditures of state funds must be made between July 1, 2010 and June 30, 2011. Additional funds from private or public partners should be listed in a separate column on the budget page, and their source and application explained in the project narrative.

The UW System has a strong commitment to advancing humanities, social sciences and liberal arts programs. Applied Research Grant applications from these fields of study that benefit local regions or the state are encouraged. Please see Appendix A for examples of Applied Research Grant-eligible projects in these areas.

### **Selection Criteria**

It is expected that proposals will be clearly written, technically sound, and will include timelines and measurable goals. The primary selection criteria to be used in proposal evaluations are identified in the attached Guidelines for the Evaluation of Applied Research Grant Proposals.

Among equally strong proposals, a proposal will be more competitive if it:

- Includes a commitment for fiscal support from a private or public partner with appropriate agreements to protect UW intellectual property and share economic benefits among participating institutions;
- Has appropriate and significant student participation;
- Can demonstrate sustainability or potential of extramural funding for further development;
- Is interdisciplinary or involves more than one UW System institution.

Lastly, consideration will be given to ensuring diversity in terms of geographic region, type of economic impact, institutional affiliation, and disciplinary field. Generally, no more than two Applied Research Grant awards may be made to any one campus due to budget limitations.

### **IA: Applied Research Grant Pre-Proposals (Optional)**

Applicants may (but are not required to) submit a one- or two-page pre-proposal to WiSys by November 9, 2009. The pre-proposal process is designed to allow WiSys or UWSA (for social science or humanities proposals) to assist you in submitting a stronger full proposal.

All pre-proposals must be one to two pages in length and can be submitted electronically at <https://www.wisys.org/forresearchers/> or sent via postal or campus mail (one hard copy). Pre-proposals must be received no later than November 9, 2009.

Pre-proposals must:

- State the technology, product or benefit that will be created.
- State the importance of undertaking the project.
- List the economic benefits and potential for extramural funding.
- List the types of WiSys assistance that you are requesting for the preparation of a full proposal (market study, patent protection issues, industry or university collaborations, locating research equipment, or expertise with legal agreements).

Once the pre-proposal is received, WiSys and UWSA will assist the applicant by:

- 1) Evaluating and commenting on the appropriateness and fit of the project to the Applied Research Grant program;
- 2) Interacting with the PI to provide the specifically requested assistance (market study, patent protection issues, industry or university collaborations, etc.);
- 3) Providing advice to the PI on intellectual property protection and sharing of benefits;
- 4) Facilitating correct agreements among partners; and
- 5) Providing general assistance to PI in preparing better grant applications.

You will receive an acknowledgement within two days of our receipt of the pre-proposal and feedback on your project within approximately four weeks. Market studies, if requested and approved, will be forwarded by the end of December 2009.

Pre-proposals are not mandatory.

### **IB: Guidelines for Applied Research Grant Full Proposals**

Full proposals must be endorsed by the Provost or designated officer of the System campus applying for the grant.

Full proposals must be submitted to WiSys Technology Foundation and received by 5:00 pm on **January 15, 2010**. An expert review panel consisting of representatives from UWSA, WiSys, System campuses and industry will screen the full proposals based on published criteria. The

panel will rank the applications and forward its recommendations to the UW System Senior Vice President for Academic Affairs, who will make final determinations on funding. Based on an estimate of available funds, those who have submitted applications that are unlikely to be funded will be informed by April 1, 2010. Applicants with high-ranking proposals will be informed by April 15, 2010. However, final funding decisions will be conveyed to eligible applicants only by May 15, 2010 or later, when the State releases funds. The level of awards and date of distribution will be contingent on the availability of funds. Neither WiSys nor UW System are responsible for any breaches in funding based on State budget decisions.

### **Multi-Campus Applications**

For collaborative Applied Research Grant proposals originating from more than one campus, the leading campus should submit the full application along with cover page and budget page for that institution. Other supporting campuses would only submit a cover page, budget page, and CV/resume for the involved researcher. WiSys will collate these forms together from each campus in the final application.

All proposals become the property of the University of Wisconsin System.

### **Applied Research Grant Full Proposal Format**

Full proposals should include a cover page (attached) and a budget page (attached), and be organized into six sections (described below). Full proposals should not exceed a combined length of 8 pages of single-spaced, 12-point type with at least 0.5 inch margins. The 8-page limit does not include letters of support or collaboration, PI resume or budgets.

1. **Technology Development (3-4 pages)**. State the technology, solution to problem, product and/or benefit that will be created. Describe how your idea or solution is superior to existing products or solutions. Technology descriptions must be brief and concise. Provide measurable, realistic milestones for the project. Performance evaluations of these milestones will be used to determine the success of your project. Arrange Section 1 as follows:
  - Introduction (brief background to technology field)
  - Technology/product/benefit description and how it is superior to existing solutions
  - Methodology (be brief)
  - Three to four measurable milestones to determine performance. Milestones are planned events that, when met, help verify the progress toward accomplishing the goals and objectives of the project. They track your progress on a time scale and allow informed decisions to be made about the future of the program. (Publishing a paper or acquiring an instrument are not milestones, whereas, completing the development of a functional prototype is.)
  - **Industry and Academic Partnerships if applicable**. Mention partnerships, the interdisciplinary or inter-campus nature of your project, and any student training opportunities. List agreements with partners. Describe how the project may attract future extramural funding or create a platform technology. For humanities and social sciences proposals, describe the societal benefits of the project and its short- or long-term benefit to the state.

2. **Economic Impact (1 page)**. How does your technology or product impact the economy of Wisconsin? Provide any available market estimates, product prices, production costs, potential new jobs, and competitive advantages Wisconsin industries may benefit from through adaptation of your technology.
3. **Intellectual Property (IP) (50-100 words)**. Describe the potential for IP protection and how agreements or understanding between partners will be used to protect UW interests and benefits. Copies of such agreements or documents must be submitted along with the full proposal. They will not count towards the 8-page full proposal limit. For humanities and social sciences proposals, describe why the project is unique and timely.
4. **Grant History (100 words or less)**. Is the proposed project part of a current or past grant application? Are you or your colleagues receiving other grant funds for the project? If the answer to one or both of these questions is “Yes”, please provide titles of grants, funding level and funding period.
5. **Budget Narrative (budget form provided)**. Letters of committed fiscal support from partners should be attached in an appendix (not counted in 8-page limit).
6. **Bibliography (maximum 1 page)**. Selected Bibliography and abbreviated resume of PI.

Monitoring the progress of the funded projects is an important aspect of the Applied Research Grant process. During the course of the project, the PI has an obligation to update UWSA regarding project progress through the appropriate technology transfer agent.

The Request for Proposal, Guidelines for Evaluation, cover sheet, and budget forms can all be found on the web at: <https://www.wisys.org/forresearchers/> or at <http://www.uwsa.edu/acss/applres/>.

## APPLIED RESEARCH-WiTAG ELIGIBILITY AND CONDITIONS

### INTRODUCTION

#### Joint Applied Research-WiSys Technology Advancement Grant (WiTAG)

Wisconsin Alumni Research Foundation (WARF), the parent organization of WiSys, funded the **WiSys Technology Advancement Grant (WiTAG)** program to advance R&D at UW System campuses through a one-time \$1,000,000 gift. Faculty and academic staff from **science and technology fields** may wish to apply for funding through the joint Applied Research-WiTAG program. The Applied Research-WiTAG program is for longer-term research (up to 3 years) with the potential to develop high-value intellectual property and/or marketable products. Technical projects laying the foundation for future extramural funding are also encouraged.

*Note: Applied Research-WiTAG proposals are funded only for the first year. Funding for 2<sup>nd</sup> and 3<sup>rd</sup> years is not automatic and the PI must submit a progress report for 2<sup>nd</sup> year funding by January 15, 2011, and by January 14, 2012 for 3<sup>rd</sup> year funding. Funding for 2<sup>nd</sup> and 3<sup>rd</sup> years is conditional on achieving sufficient project progress. WiSys and UWSA cannot guarantee funding for 2<sup>nd</sup> and 3<sup>rd</sup> years.*

UW-Madison and UW-Milwaukee researchers are not eligible for Applied Research-WiTAG awards. However, Madison or Milwaukee faculty may collaborate on Applied Research-WiTAG proposals submitted by other UW campuses. Intellectual property created using Applied Research-WiTAG funding must be assigned to WiSys.

Faculty and academic staff employed at least half-time in any UW System institution except UW-Madison and UW-Milwaukee are eligible to apply for an Applied Research-WiTAG grant. A maximum of \$150,000 of funding over a three-year period may be requested. All expenditures of funds must be made between July 1, 2010 and June 30 of the final grant year (no later than June 30, 2013). Additional funds from the private sector or other parties should also be listed in a separate column on the budget page, and their source and application explained in the project narrative.

Applied Research-WiTAG full proposals must meet one or more of the criteria below.

- May generate **high-value intellectual property** (have significant revenue generation potential through licensing);
- May produce a **marketable product or technology** in the near term (3 to 7 years); and/or
- Lays a solid foundation for future extramural funding.

#### IIA: Applied Research-WiTAG Pre-Proposals (Optional)

As with the Applied Research Grant program, you have the option to submit a one- to two-page pre-proposal to WiSys by November 9, 2009. The pre-proposal process is designed to help WiSys assist you in submitting a stronger full proposal application. Pre-proposal submission is not mandatory.

Pre-Proposal guidelines for the Applied Research-WiTAG program are the same as those for the Applied Research Grant program (See Section 1A of the preceding document). Clearly indicate at the top of your pre-proposal: “**Applied Research-WiTAG**”

### **IIB: Guidelines for Applied Research-WiTAG Full Proposals**

Full proposals must be endorsed by the Provost or designated officer of the System campus applying for the grant.

Full proposals must be submitted to WiSys Technology Foundation and received by 5:00 pm on **January 15, 2010**. Both Applied Research Grant and Applied Research-WiTAG proposals are screened by the review panel described in **Section IB**. However, Applied Research-WiTAG proposals undergo additional screening by WiSys prior to full review by the panel. WiSys will make a recommendation as to whether the proposal meets WiTAG criteria. If the review panel accepts an Applied Research-WiTAG application rejected by WiSys, the application will be funded only for **ONE year** through Applied Research Grant funds.

### **Multi-Campus Applications**

For collaborative Applied Research-WiTAG proposals originating from more than one campus, the leading campus should submit the full application along with cover page and budget page for that institution. Other supporting campuses would only submit a cover page, budget page, and CV/resume for the involved researcher. WiSys will collate these forms together from each campus in the final application.

All proposals become the property of the University of Wisconsin System.

### **Applied Research-WiTAG Full Proposal Format**

Proposals should include a cover page (attached), a budget page for all three years (attached), and be organized into eight sections (listed below) which should not exceed a combined length of 12 pages of single-spaced, 12-point type with at least 0.5 inch margins. The 12-page limit does not include letters of collaboration or support, resumes or budgets.

1. **Technology (1-2 pages)**. State the technology, solution to problem, product or benefit that will be created. Describe how your idea or solution is superior to existing products or solutions.
2. **Economic Impact: (1 page)**. How does your technology or product impact the economy of Wisconsin? Provide any available market estimates, product prices, production costs, potential new jobs, or competitive advantages Wisconsin industries may benefit through adaptation of your technology. Economic impact is a crucial selection criterion for Applied Research-WiTAG applications.
3. **Research plan (maximum 5 pages)**. Describe research plan for the 1st, 2nd and 3rd years. For each year, provide a concise description of experiments and measurable milestones. Technology descriptions must be brief and concise. List human resources

needed (e.g., faculty reassignment time, hiring of post-docs and research assistants). Provide measurable, realistic milestones for the project. Milestones are planned events that, when met, help verify the progress toward accomplishing goals and objectives of the project. They track your progress on a time scale and allow informed decisions to be made about the future of the program. *Performance evaluations of these milestones will be used to determine the success of your project on a yearly basis, and will determine continued funding for subsequent years. WiSys retains the right not to continue funding if milestones are not met.*

4. **Industry or Academic partnerships (~200 words).** Describe the interdisciplinary or inter-campus nature of the program, and any student training opportunities. List agreements with industry or university partners. Describe how the project may attract future extramural funding or create a platform technology.
5. **Intellectual Property (IP) (100 words).** Describe the potential for IP protection and how agreements or understanding between partners will be used to protect UW interests and benefits. Copies of such agreements or documents must be submitted along with the full proposal (such documents do not count towards the 12 page limit). UW inventors must assign their IP to WiSys to receive Applied Research-WiTAG funding.
6. **Grant History (100 words).** Note whether the proposed study is part of a current or past grant application (Grant History). Are you or your colleagues receiving funds from another grant for all or a portion of the study? If the answer to one or both of these questions is “Yes”, please list grant titles, funding agency, amount and period of funding.
7. **Budget Narrative (budget form provided).** Provide the first year budget form only. Mention total estimated budget request for 2<sup>nd</sup> and 3<sup>rd</sup> years. Full 2<sup>nd</sup> and 3<sup>rd</sup> year budget sheets must be submitted along with progress reports in subsequent fund requests. Letters of committed fiscal support from partners should be attached in an appendix (not counted in 12-page limit).
8. **Selected bibliography and resume of PI (maximum 1 page).** Include an abbreviated resume of the PI.

Monitoring the progress of the funded projects is an important aspect of the Applied Research-WiTAG process. During the course of the project, the PI has an obligation to update UWSA regarding project progress and milestone achievements through WiSys.

The Request for Proposal, Guidelines for Evaluation, cover sheet, and budget forms can also be found on the web at <https://www.wisys.org/forresearchers/> or <http://www.uwsa.edu/acss/applres/>.

## **APPLIED RESEARCH GRANT AND APPLIED RESEARCH-WITAG GRANT ADMINISTRATION**

UWSA will transfer funding for the approved projects from system-wide accounts to institutions at the request of the institutional business office. Consistent with the policy for other GPR appropriations, funds budgeted for salaries cannot be used for other budget categories without prior approval of UW System. Funds may not be spent for tuition remissions. Unspent or unencumbered funds may not be carried over beyond the end of the grant. WiSys will negotiate with individual campus administrations to leverage funds to supplement the WiTAG portion of the grant money.

### **CONTACT INFORMATION:**

If you have questions regarding the Applied Research Grant and Applied Research-WiTAG programs, please visit the WiSys website at [www.wisys.org](http://www.wisys.org) and click on “For Researchers”, or visit the UW System website at <http://www.uwsa.edu/acss/applres/> or contact: Carmen Faymonville [cfaymonville@uwsa.edu](mailto:cfaymonville@uwsa.edu), UWSA Academic Planner at 608-263-2046, or Ally Hauser [ahauser@wisys.org](mailto:ahauser@wisys.org) at 608-890-2660.

## **APPENDIX A**

### **Examples of Social Science and Humanities Applied Research Projects**

#### **Social Science**

This project, which received Applied Research Grant funding in 2005-06, teamed faculty and academic staff with campus-based organizations to address particular needs of low-income employees in communities in Southern and Central Wisconsin. The UW-Madison Center on Business and Poverty (COBAP) provided best practices and research methodologies. Students worked with medium and large businesses to help low-income employees filing forms for the Earned Income Tax Credit. They also worked with partner companies to help employees establish bank accounts for direct paycheck deposit. COBAP helped monitor the results of the applied best practices, keeping track of the number of tax forms filed, the accumulated tax refunds, the number of bank accounts established and the progress toward establishing direct deposit of checks. These results were compared to those achieved by control groups.

The project proposal cited an economic impact estimate based on a \$7.00-per-hour employee working the average 1800 hours per year. The employee is married to a spouse who is not in the paid work force, and has two children. If just an extra 50 such employees received the Earned Income Tax Credit and other savings, the project would have brought back to Wisconsin over \$200,000 for the investment of \$50,000.

#### **Humanities – Visual Arts Example**

Faculty or academic staff could use grant funding to hire students and work with community members (youth and adults) to create public art (a mural, sculpture, series of paintings, etc.) in a low-income urban neighborhood or rural area. The art work could celebrate the community's local history or cultural heritage. The Principal Investigator(s) could hold workshops in design, fabrication, and execution of the artwork.

Such a project would have a positive economic impact for a number of reasons. First, it could improve neighborhood life through job skills training and community organizing. It would visually enhance the neighborhood, thereby attracting tourists, new residents, and businesses.