



EXTERNAL FUNDING GRANTS

The purpose of External Funding Grants (EFG) at Minnesota State Mankato is to provide Colleges, Divisions, and Project Investigators with support that will increase their competitiveness for external funding opportunities. An expected outcome of the EFG is that the Project Investigator or Director (PI/PD) submit one or more grant or contract proposals to an external funding source. Administrators, faculty, and staff may apply for EFG funds to support proposal development activities including, but not limited to, those outlined in the University's policy on Facilities and Administration Costs and in these guidelines below.

As specified in the policy on Facilities and Administration Costs (available at grad.mnsu.edu/research/budgeting/FY08-FY10_FandA_Policy.pdf), a subcommittee of the Budget Sub Meet and Confer will review EFG applications annually. The grants are funded by the carry forward of unspent Facilities and Administration Costs. The express purpose of the grants is to provide incentives and support that will lead to future external funding, in order to create self-sustained research and sponsored programs. As such, the grants do not fund projects that are more appropriate for Faculty Research Grants (FRG), Summer Research Dissemination Grants (SRDG), or other internal funding sources.

GUIDELINES

1. **Eligibility:** The Project Investigator or Director (PI/PD) must be in a probationary, tenure-track, tenured, or permanent position at the time of application. Employees in fixed-term positions are not eligible to serve as a PI/PD, although they may serve as collaborators on one or more projects.
 - If an EFG proposal is made on behalf of an organizational or administrative unit (e.g., a department, College, or Division), the appropriate unit head or his/her designee must serve as the PI/PD.
 - Only one proposal from a given PI/PD will be considered at each application period. However, the PI/PD on one project may serve as a collaborator on one or more additional projects.
 - Joint projects or partnerships, team projects, and other forms of collaboration—particularly interdisciplinary collaborations—are encouraged.
2. **Deadlines:** The deadline for 2010 EFG awards is November 2, 2009.
 - Applicants must secure the signatures of their unit head and Dean/VP and **submit the original and 11 copies** of the complete, signed proposal to the Office of Research and Sponsored Programs, WA 325, by 4:30 p.m. on the deadline day.
 - The Office of Research and Sponsored Programs will not accept proposals after the designated deadline except with written permission of the review committee.

3. **Review Process:** Peers outside of your specific area of expertise will review your proposal and recommend fundable proposals. **Please use language and terminology that are clear and understandable to those in other disciplines.**
 - The committee will meet within two weeks of the proposal deadline and make its decisions within four to six weeks of the deadline.
4. **Format:** Each proposal must contain all elements specified in the Required Format. **Please use the headings provided in this section and present information in the order provided.**
5. **Responsible Conduct of Research:** Research involving human subjects or laboratory animals **must** be approved by the Institutional Review Board or the Institutional Animal Care and Use Committee (IACUC). If the protocol has already been approved, please attach a copy of the approval letter. If not, please indicate when the protocol will be submitted. If the project is approved for funding by the EFG review committee, no account for the expenditure of funds will be set up until a copy of the approval letter has been submitted to RASP. IRB guidelines and forms are available at <http://grad.mnsu.edu/irb/>. IACUC information is available at <http://grad.mnsu.edu/research/iacuc/>.
6. **Award Information:** The **minimum** award per proposal will be \$5,000. There is no maximum award specified, except as prescribed by the amount of available funds (approximately \$200,000 in 2009).
 - All publications (including programs or advertisements for creative projects) must acknowledge support from Minnesota State Mankato.
 - If monetary gains (e.g., royalties, licensing fees) are realized as a consequence of the grant, the faculty member may be asked to reimburse Minnesota State Mankato up to the amount of the grant.
 - Funds must be spent by December 31, 2010; one no-cost extension will be considered by the Office of Research and Sponsored Programs, for a period of up to 12 months.
 - Unexpended funds will revert to the research account for reallocation. Grantees who do not plan to use the funds should notify the Director of Research and Sponsored Programs as soon as possible.
 - Review committee members have a responsibility to encourage timely completion of the project and appropriate use of funds allocated, and therefore may periodically review progress and expenditures with grant recipients.
 - A final written report must be submitted to the Director of Research and Sponsored Programs (RASP) no later than June 30 following the end of the project period. Electronic submission is welcome. The RASP Director, in consultation with the Budget Sub Meet and Confer, is responsible for reviewing and approving these reports. Grant recipients will not be eligible for future grants until the final report is *received and acknowledged*.
 - Copies of proposals for external funding to support future research (or sponsored programs) related to the project should be submitted with the final report.

- Copies of manuscripts or abstracts based on the research published or submitted for publication should also be submitted with the final report. For a creative work, a program or publicity for an exhibition, reading, or performance should be included.

7. **Budget Guidelines: Please see the budget template provided below.**

- **Applicants for External Funding Grants must describe how all project costs will be covered.** For example, if an EFG request is \$25,000 and the project describes activities not covered in the budget, the applicant must explain how these costs will be covered so that reviewers can assess the likelihood that the applicant will have the resources needed to complete the project.
- Appropriate uses of EFG funds include, but are not limited to the following:
 - Proposal development costs (postage, printing, staff time)
 - Travel to seek possible funding, to engage in research or creative activity, or to present research or creative results
 - Equipment and supplies purchased or leased to support research or creative activity
 - Matching funds required by granting agencies
 - Service Contracts
 - Research Assistantships (including tuition reimbursement) and student help
 - Adjunct or other staff time to replace time reassigned for research, project support, or proposal development
 - Other expenditures that provide direct benefit to projects supported by external funding.
- Please plan your budget carefully. Significant changes in the nature or scope of the project after funds have been awarded will require formal approval.
- **Allowable budget items:** Allowable costs fall into the general categories of **salary, graduate assistants, other student labor, other personnel, supplies, equipment, copying/printing, postage, travel, and other services.** Itemize and provide justification for expenditures in each category. Consult Table 1 for more information on allowable costs.

NOTES on specific budget categories:

1. **Student research assistants:** As you plan your budget, please refer to the University policies on student pay rates. Information on stipends and tuition remission for graduate assistants is available at the following site: <http://grad.mnsu.edu/assistantships/>. Information on undergraduate student worker classifications and pay rates is also online: <http://www.mnsu.edu/busoff/studentpayroll/>.
2. **Equipment and supplies:** Applicants requesting equipment must provide a compelling rationale and demonstrate the need for the equipment, including evidence that this equipment is not already available elsewhere on campus. **Requests for office computers, laptop computers or computer upgrades will NOT be funded, unless documented as essential for completing research.** All equipment and supplies purchased with EFG funds will remain departmental property unless specifically assigned elsewhere with the approval of the appropriate Dean or Vice President.
 - Equipment purchased with EFG funds should be made available to other investigators upon completion of the originally funded research.

- The grantee shall ensure that equipment is properly entered in the department's fixed asset inventory list.
3. **Travel:** All domestic, international, and local travel costs directly related to conducting the funded research or creative project are eligible budget items. Such requests must be justified in the proposal. Student travel money may be requested if students participate in the research, under the supervision of the faculty member. State guidelines, posted at <http://www.mnsu.edu/busoff/travel/>, must be followed.

Table 1. SUMMARY OF ALLOWABLE AND DISALLOWED EFG EXPENSES

LINE ITEM	ALLOWABLE EXPENSES	DISALLOWED
<p>Personnel (including graduate assistants, other student labor)</p>	<p>Salary for classified or unclassified staff hired specifically to work on the project. Adjunct or other staff time to replace time reassigned for research, project support, or proposal development. Undergraduate and graduate Minnesota State Mankato student time (and graduate assistant tuition remission for more than 8 hrs/wk of research assistance). Note: The cost of tuition remission must be included in your budget, as well as the student wages. Although not encouraged, small stipends may be paid to Minnesota State Mankato personnel for essential contributions to the project that are clearly in excess of normal contractual responsibilities for that individual. Such stipends must be carefully justified in the proposal.</p>	<p>Tuition for the PI/PD or co-PI/PD.</p>
<p>Supplies, materials, and equipment</p>	<p>Research and office supplies, special software, non-standard equipment. Equipment and supplies purchased or leased to support research or creative activity.</p>	<p>“Miscellaneous” as an item or as a category.</p>
<p>Copying/printing</p>	<p>On-campus or off-campus specialty printing and copying services.</p>	
<p>Communication</p>	<p>Postage, phone.</p>	<p>Internet access from off-campus.</p>
<p>Travel</p>	<p>Conduct of research by PI/PD and supervised student research assistants. Travel to seek possible funding, to engage in research or creative activity, or to present research or creative results.</p>	
<p>Other services</p>	<p>Non-Minnesota State Mankato contractors with a specific expertise (statistical analysis, lab processing, transcription, etc.).</p>	<p>Services available on campus to advance the proposed research or creative activity.</p>

REQUIRED FORMAT

Proposals that do not follow content and format guidelines will be eliminated without review.

- The required elements of the proposal, described below (Sections A-J), may not exceed **16 pages (including the cover page), double-spaced, using 12-point font and one-inch margins.**
- **Use the headings below and present information in the order provided (A-J).**
- Please note that sections H-J (the budget, bibliography, and vita) are the **ONLY** sections of the proposal that do not need to conform to the double-space requirement.
- Up to five pages of attachments may be added, if necessary, **to a maximum total of 21 pages (including the cover page)** for the complete application. While all material relevant to determining the quality of the proposed work must be included within the 15-page body of the proposal, applicants may, as a part of the Attachments, include letters of approval from the IRB or IACUC, agreements with collaborators, samples of data collection instruments, or similar items *if they are relevant to determining the quality of the proposed project*. In addition, for those projects whose deliverables include a final product, samples of these products (such as assessment tools, screen shots of software, sample teaching modules and other project deliverables) may be placed within the Attachment section. These sample materials should be concise and relevant. Applicants are reminded that, unless listed above, additional documents should not be attached and, if included, a reviewer is under no obligation to review these materials.
- Note that figures, graphs, tables, charts, and images should be included within the 15-page body of the proposal rather than as attachments. Proposals with graphs, tables, charts, or similar items attached to the 15-page proposal will be considered over the 15-page minimum and will not be reviewed.
- All pages in Sections A-J must be numbered. Submit the signed original and 11 copies of the proposal.

Successful proposals avoid jargon and are written in language that is clear and understandable to colleagues from a wide range of disciplines.

SECTIONS OF A COMPLETE PROPOSAL

A. COVER PAGE

The required cover page, which must be fully completed, is attached at the end of this PDF file.

B. ABSTRACT

Provide a succinct and accurate overview of the entire project (approximately 250 words) that assists reviewers in understanding the goals and significance of the proposed project—including the potential for external funding.

C. PURPOSE / OBJECTIVES

Begin this section with a concise statement of the general purpose and major objectives of the proposed project. Include a discussion of how and when you plan to pursue external funding and how external funding will sustain your research.

D. SIGNIFICANCE / NEED

Include a concise overview of the literature related to your project and a summary of your work on the project to date. Clearly explain how your project fills a need or represents an innovation that external funding agencies will consider significant. Identify the funding sources most likely to fund your project and provide evidence that your project fits with the agencies' goals and funding priorities.

E. PROCESS AND TIMELINE FOR ATTAINMENT OF OBJECTIVES / GOALS

This section is a precise description of the process you plan to use to accomplish your specific project objective(s). It must contain a specific timeline for completing project activities and a description of your plans for sustaining your project by securing external funding. This section should also outline your long-term goals for the project, once it is externally funded.

F. DISSEMINATION OF RESULTS

This section should demonstrate how you plan to disseminate or publicize your results (specify venues for exhibition opportunities, journals selected to submit article(s) for publication, etc.).

G. REPEATED REQUESTS

If this proposal is similar to one for which you previously received funding from an internal (University) funding source, describe how this current project differs from the earlier project(s).

H. BUDGET Use the format provided in the Budget Template.

- Itemize the expenses required to complete your project using the following broad categories of allowable expenditures: supplies, equipment, copying/printing, postage, travel, graduate assistants and other student labor, salary, and services.
- A statement of justification or explanation must accompany each category of expenditure.

- Indicate the amount of time the PI/PD and any co-PI(s) will devote to the project.
- If outside funding is required, indicate how it will be secured.

I. BIBLIOGRAPHY: Provide standard citations for material referenced.

J. APPLICATION VITA (MAXIMUM: 3 PAGES)

Although no particular format is required, reviewers look specifically for the following:

- Research and scholarly activity pertinent to the proposal.
- Previous projects supported by external funding (grants or contracts).

REQUIRED COVER PAGE

APPLICATION FOR EXTERNAL FUNDING GRANT

**All sections/questions must be completed to be considered for grant award.

1. Project Title: _____

2. Name of Principal Investigator/Project Director: _____

3. College (abbrev): _____ 4. Department: _____

5. Co-Investigator(s): _____

5. PI/PD Campus Mail Address: _____ 6. PI/PD Campus Phone: _____

7. Amount Requested: \$ _____ 8. Total Cost of Project: \$ _____

9. Does this project involve:

Yes No

human subjects?

animals/animal care facility?

radioactive materials?

hazardous materials?

biological agents or toxins restricted by the USA Patriot Act?

copyright or patent potential?

utilization of space not currently available to the PI/PD?

the purchase of equipment/instrumentation/software currently available to the PI/PD?

NOTE: If the answer is "yes" to any of the above questions, the investigator must attach appropriate documentation of approval or justification for use/purchases, including housing of animals.

10. List external funding agencies that may be potential sources of future funding for this line of research.

REQUIRED SIGNATURES

Chairperson/Unit Head Date

Dean/VP Date

**Date Stamp & Initial Receipt in the
Office of Research and Sponsored Programs
(WA 325)**

BUDGET FOR EXTERNAL FUNDING GRANT

CATEGORY	AMOUNT
Personnel (include salary, graduate assistants, student labor, and other personnel) <u>Justification:</u>	
Supplies, materials, and equipment <u>Justification:</u>	
Copying/printing <u>Justification:</u>	
Communication <u>Justification:</u>	
Travel <u>Justification:</u>	
Other services <u>Justification:</u>	
Total Required	
Less Additional Contributed Funds	
TOTAL REQUESTED	

Check list for External Funding Grant Application

Before any proposal is evaluated, the proposal package is considered for completeness and adherence to guidelines. The following must be included, or the proposal is automatically rejected.

- _____ Cover page (A)
- _____ Abstract (B)
- _____ Purpose/objectives (C)
- _____ Significance/need (D)
- _____ Process for attainment of objectives/goals (E)
- _____ Timeline and percent of time devoted to the project
- _____ Documentation of pending/approved IRB or IACUC review
- _____ Dissemination of results (F)
- _____ Repeated request (G)
- _____ Budget (H)
- _____ Bibliography (if applicable) (I)
- _____ Vita (3 pages maximum) (J)
- _____ Proposal follows format guidelines: double-spaced (except sections H-J), 12-point font, one-inch margins, 15 pages with up to 5 pages of attachments to a maximum total of 20 pages (excluding the cover page) for the complete application, and all pages numbered.

Proposals that do not follow content and format guidelines will be eliminated without review.

EXTERNAL FUNDING GRANT EVALUATION FORM

Principal Investigator: _____

Evaluator: _____ Signature: _____

Please score and provide rationale for each of the following categories. Please circle the number which best describes your opinion (unless otherwise directed). Base your answers on this scale: 0=Low, 1=fairly low, 2=Medium, 3=Fairly High, 4=High; or 0=no, 1=yes.

1. Purpose/Objectives (0-8 points)	_____ points																
	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td> <td style="width: 10%; text-align: center;">Low</td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%; text-align: center;">High</td> </tr> <tr> <td></td> <td style="text-align: center;">0</td> <td style="text-align: center;">1</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td></td> </tr> </table>		Low						High		0	1	2	3	4	4	
	Low						High										
	0	1	2	3	4	4											
Concise, explicit expression of purpose/objectives (the project goals and plans for securing external funding are clearly explained)																	
Attainability (objectives are realistic)	0 1 2 3 4																

2. Need/Significance (0-12 points)	_____ points
Literature review is clearly related to project.	0 1 2 3 4
Clearly explains how the project fills a need or represents an innovation that external funding agencies will consider significant.	0 1 2 3 4
Identifies the funding sources most likely to fund the project and provides evidence that the project fits with the agencies' goals and funding priorities.	0 1 2 3 4

3. Process and timeline for attainment of goals/objectives (0-16 points)	_____ points
Includes a precise description of plans to secure external funding.	0 1 2 3 4
Timeline, including plans for securing external funding, is specific and realistic.	0 1 2 3 4
Plans for securing external funding are realistic and attainable.	0 1 2 3 4
Describes realistic long-term goals for the project, once it is externally funded.	0 1 2 3 4

4. Dissemination of Results (0-1 point)	_____ points
Intended results of the project are specified. (Plans for articles, conference papers, books included?)	No = 0 Yes = 1

5. Budget (0-9 points)	_____ points
Justification	0 1 2 3 4
Specificity/clarity	0 1 2 3 4
Conforms to guidelines?	No = 0 Yes = 1

6. Overall Project Evaluation (0-8 points)

_____ **points**

Quality of the conception, definition, organization and description of the project. 0 1 2 3 4

Quality of the plan for securing external funding to ensure sustainability of the project. 0 1 2 3 4

Total Score [Σ ratings] _____ (out of 54 possible points)

Overall Proposal: Which of the following three categories do you feel this project falls into?

A Should be funded **B** Possibly funded **C** Not funded in current state