

# ATTACHMENT III

## **South Carolina Research Initiative**

### **MOTION**

**The South Carolina Commission on Higher Education, in concert with the research universities, will launch the South Carolina Research Initiative -- a multi-year commitment beginning with \$3.4 million in 1999-2000 to strengthen the research competitiveness of the research universities in the State. In addition to \$2.5 million for faculty research grants, with 90% earmarked for the research university sector, the South Carolina Commission on Higher Education also commits \$.9 million dollars of unallocated funds for a total of \$3.4 million for the South Carolina Research Initiative for 1999-2000.**

### **CONCEPT DESCRIPTION**

Beginning with fiscal year 1999-2000, with the appropriation of \$2.5 million dollars for faculty research grants, the Commission on Higher Education, in concert with the research sector, is launching an initiative to strengthen the research capacity of research institutions in the State. The initiative has the goal--in keeping with Act 359 of 1996 and reiterated by the Business Advisory Council and the Commission on Higher Education--to propel South Carolina's higher education institutions to a position of greater competitiveness. The initiative specifically targets the need for world-class research, recognizing that a significant research effort is essential to promote the economic development of the State of South Carolina. This support is meant to be two-fold: 1) to supply initial "seed money" funding to begin research and 2) to provide a mechanism for "leveraging" additional external support for research projects.

The goal of the Research Initiative will be met through three strategies:

- Support for innovative research projects undertaken by existing faculty,
- Support for research infrastructure development to better sustain research activities, and
- Support for attracting world-class researchers to the State.

These strategies are intended to provide seed money that will significantly expand research efforts in the future as the universities focus increased attention on research priorities.

Over a period of five years, the Commission on Higher Education will seek \$25 million dollars for this purpose, beginning with \$3.4 million in 1999-2000 and scaling up to \$6 million in 2003-2004. The effort will focus primarily on the State's research universities, but will include support for faculty research at other institutions.

## **Funding**

The first year of the initiative will be funded through \$2.5 million in faculty research grants and approximately \$900,000 of unallocated performance improvement funding and other unallocated dollars for fiscal year 1999-2000. These funds come from appropriations already available for 1999-2000. In subsequent years, incrementally increased amounts will be requested from the General Assembly to produce a total \$25 million investment in research over five years. The amounts per year are as follows:

1999-2000	\$3.4 million
2000-2001	\$4.5 million
2001-2002	\$5.4 million
2002-2003	\$5.7 million
2003-2004	\$6.0 million

In the first year, \$2.5 million will support faculty research grants, with 90% designated to the research sector. The balance of available funds beyond the \$2.5 million will be used as seed money to support the development of research infrastructure at the research universities.

In each subsequent year, \$2.5 million will be allocated to support faculty research grants, as in 1999-2000, and the balance will support increasing investments in both research infrastructure development and the recruitment and retention of research faculty. In this way the State will build on its existing base of research while also attracting and supporting new research activity.

## **Rationale**

As the performance funding legislation and the Business Advisory Council recommendations make clear, South Carolina needs to be increasingly competitive in its higher education programs in order to sustain economic growth and achieve improvements in the quality of life for its citizens. Increased investments in higher education are essential if this goal is to be reached.

As a major step in increasing this investment, research support needs to be dramatically increased. A significant research investment, as has been shown in South Carolina and other states, can yield a return of at least three dollars for every dollar in initial expenditures. It is research, especially research that is targeted toward cutting edge technologies related to economic development, that can fuel long term growth in the economy as South Carolina competes in a global, information-age marketplace.

The State's three research universities, with support from other higher education institutions in the State, have developed a solid and growing research base. Yet South

Carolina must make a concerted effort to move forward aggressively in its research initiatives if it is to compete successfully with other major research-producing states.

The South Carolina Research Initiative will provide the seed money over five years to move the State significantly ahead of its current position by attracting and retaining the best research faculty in targeted areas and supporting their research with the appropriate infrastructure and funding.

### **Process**

Funding for the three components of the initiative will be handled as follows:

- **Faculty Research Grants**

The faculty research grants will be awarded in a competitive process with 90% of the funding designated for the research university sector and 10% for the teaching university sector, reflecting the percentages of research funding generated by those sectors. The 90% will be allocated in turn based on each university's share of research funding generated.

- **Infrastructure**

Infrastructure support will be awarded to the research university sector based on each university's relative share of the research funding generated. The total dollar amount available for infrastructure development will be determined annually by the Commission on Higher Education based on recommendations from the research universities.

- **Recruitment and Support for Additional Research Faculty**

Funds to recruit and support additional research faculty will be awarded in response to proposals from the research university sector. The total dollar amount available to recruit and support additional research faculty will be determined annually by the Commission on Higher Education based on recommendations from the research universities.

**Guidelines for the  
RESEARCH GRANT PROGRAM  
FY 1999-2000**

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## **Purpose**

The purpose of this grants program is principally to promote the economic development of the State of South Carolina by providing support for research projects conducted by public colleges and universities in South Carolina based upon the expertise of their faculty members. This support is meant to be two-fold: 1) to supply initial "seed money" funding to begin research and 2) to provide a mechanism for "leveraging" additional external support for research projects. Basic and applied research are both allowable under this program. Collaboration with other South Carolina public institutions of higher education and with business and industry in South Carolina is encouraged.

Copyrights and patents which might be developed under this research will belong to the public institution to which the grant has been awarded.

## **Proposal Information**

### **Proposal for Information**

1. Project forms are to be filled out by the principal investigator and any co-principal investigator(s). The forms contained in this RFP must be used and may be reproduced. Copies will not be provided by the Commission on Higher Education (CHE).
2. **Completed proposals must be received in the CHE office by 5:00 p.m. on Thursday, September 30, 1999. Proposals received after 5:00 p.m. will not be considered.** The proposals must first be screened at the originating institution for adherence to the RFP guidelines and economic development application for the State of South Carolina. Only those proposals which meet all requirements and show economic development application for the State of South Carolina should be forwarded to the Commission. Staff at the CHE will organize the proposals and administer an external peer review. The external peer reviewers will use the Excellent, Very Good, Good, Fair, Poor rating system of evaluation. CHE's Committee on Academic Affairs will recommend grant recipients to the CHE on the basis of the peer review results. Awarding of funds for research projects is planned for January 2000.
3. The average individual grant award expected to be made under this program is expected to fall in the \$75,000 to \$200,000 range. No subcontract of any grant is allowable without prior written approval of the S.C. Commission on Higher Education.
4. The total amount of money to be awarded for specific research projects for FY 1999-2000 will be at least \$1.5 million, possibly increasing to \$2.5 million. However, this is dependent upon the appropriation of funding by the General Assembly. There will be a formula for the awarding of funds to any of the eligible four-year public institutions within the State. This formula will be weighted 90% for available funding to be granted to research institutions and 10% for comprehensive teaching institutions in accord with how research dollars are currently generated.

Approximately 5% of the grant funds will be used for administration and evaluation.

5. There is no limit to the number of proposals an eligible four-year public institution can submit. However, only one project for a principal investigator or co-principal investigator will be funded in any given year. Given the formula for the awards, it is unlikely that a comprehensive teaching institution will receive more than one award during a given year.
6. Projects selected for funding will commence in January 2000. The duration of support will be for one (1) year, with one six-month, no-cost extension possible upon approval by CHE staff of a written request justifying the extension.
7. No single project will be supported by more than one grant from the CHE.
8. Proposal packages should be addressed to:

RESEARCH GRANT PROGRAM  
Academic Affairs Division  
S.C. Commission on Higher Education  
1333 Main Street  
Suite 200  
Columbia, SC 29201

## **Eligibility Requirements**

Every public four-year institution of higher education is eligible to submit research project proposals under the Research Grant Program. A major focus under this program is to provide start-up funds and "seed monies" which will make the proposed research competitive for external funding after completion of the project. Additional requirements are:

1. The principal investigator and any co-principal investigator(s) submitting Research Grant proposals must be full-time, tenure-track faculty. Consideration will be given to other individuals only under specific, and very special, circumstances.
2. No principal investigator or co-principal investigator shall be funded more than once every third year of the Research Grant Program. Any second funding period for a principal investigator or co-principal investigator must be for a proposal on a different research topic from the one previously funded under this program.
3. A faculty member who has received competitive grant funds from nationally competitive grant programs sponsored by federal agencies for six of the previous ten consecutive years (as defined by the official grant initiation and termination dates) while employed in South Carolina's public institutions of higher education is ineligible for funding. A federal agency is defined as those agencies listed as follows: NSF, NASA, Department of Energy, NIH, USDA, EPA, ONR, NEA, NEH, US Department of Education, and any other federal agency which has a national competition for research funds. Excluded are those awards granted to individuals which are "flow



through" federal funds to states or funds that are awarded only by local or regional competition.

The principal investigator and any co-principal investigator(s) are designated by the recipient institution. These individuals will receive credit for any accomplishments from the proposed work and must meet all requirements listed above. Contact the Director of the Division of Academic Affairs of the CHE with any questions regarding eligibility requirements.

## **Guidelines for Preparation of Proposals**

These guidelines are for proposal submission in all disciplines. The format described herein must be used.

### **Contents of the Proposal**

The proposal should present the:

1. Objectives and significance of the proposed work.
2. Suitability of the methods to be employed.
3. Qualifications of the investigator(s) and the grantee organization.
4. Effect of the activity on the infrastructure of science, engineering, social sciences, the humanities, the arts, or of education in these areas.
5. Economic development application for the State of South Carolina, (e.g., evidence of likelihood that project will lead to a patentable product that may result in technology transfer).
6. Amount of funding required.
7. Plans for evidence of additional external funding being sought for which these funds may be used as "leveraging dollars," including evidence that additional funds are to be sought from other sources to continue project in subsequent years (if appropriate).
8. An outline of the institution's methods to assure accountability of funds to be applied for the purposes stated in the grant.

The proposal should be reviewed carefully to ensure that all essential parts are included. A checklist is provided for this purpose. The CHE expects strict adherence to the rules of proper scholarship and attribution, which are essential to the organization of legitimate research, communication of its results, and to the appropriate functioning of the competitive merit review system on the basis of which awards will be made. Responsibility for proper attribution and citation rests with the authors of a research proposal. Failure to adhere to such standards will result in the proposal's disqualification for funding. Any publication of the results of this grant should give recognition to the state of South Carolina and the Commission on Higher Education for funding the proposal.

## **Format of the Proposal**

Six (6) paper copies of the proposal, including the original (which must be signed), are required. To facilitate processing, the original should be bound with a finder or paper clip and not stapled. Other copies should be stapled in the upper left-hand corner, with pages numbered at the bottom and a one-inch margin at the top. The original must be printed only on one side of each sheet. Additional copies may be printed on both sides. Supportive materials to be considered with the proposal must be attached to the individual copies of the proposal. Contents must be assembled in the sequence given in the proposal checklist.

A computer disk copy of the proposal is also to be included. The computer disk copy is to be Microsoft Word on a 3.5 inch disk, divided into two files: 1) project summary; and 2) the entire proposal, including the commercial application description. The project description is limited to 10 pages of 26 lines per page, using 12 point font. Proposals not following this format will be disqualified. Tables and graphs must be included in the 10 pages reserved for the project description. Appended information must not be used to circumvent the page limitation. In exceptional circumstances where visualization of materials through computer resources provides important information/demonstration about the project that cannot be made available through a printed text, a proposal may include a computer disk containing this information. A printed narrative of not more than one-page using 12-point font must accompany the disk and explain the special circumstances.

The following are not included in the 10-page limitation:

1. A one-page description of the economic development application for the State of South Carolina.
2. A one-page Project Summary
3. Bibliography
4. Biographical Sketches
5. Eligibility Requirement Sheet
6. Budget and Budget Explanation Page(s)
7. Description of Facilities and Equipment
8. Current and Pending Support Form
9. List of Suggested Reviewers
10. Documentation as needed for special considerations of uses of human beings, animals, and materials/conditions considered to be biohazards.

## **Cover Page**

The title of the proposed project should be brief, informative and intelligible to a literate reader in the discipline and suitable for use in the public press. In consultation with the Principal Investigator, the Commission may edit the title of a project before making an award.

Proposals must be approved by the appropriate institutional officer. One copy of the proposal must be signed by the principal investigator and any co-principal investigator and an official authorized to commit the institution in business and financial affairs. Proposing organizations may have additional signature requirements. Other copies must record the names and titles of

those who have signed the original. Proposals are incomplete if endorsement signatures are omitted.

### **Table of Contents**

A table of contents is required. It should show the location of each section of the proposal as well as major subdivisions of the project description, such as the summary of previous work, statement of proposed research or scholarly or creative activity, and methods and procedures to be used.

### **Economic Development Application Description**

A one-page (maximum 26 lines, using a 12-point font) description of the anticipated economic development benefits of the project for the State of South Carolina must be included. The name(s) of the originating institution, principal investigator, co-principal investigator(s), and any others involved in the project should not be identified by name in this description. It should list the title of the project at the top followed by the narrative. It should be attached to the original only. This description will be reviewed by CHE staff to determine eligibility to compete in the Commission's Research Grant Program. Principal investigators will be notified if a project was not accepted for the competition. Failure to include this description or to adhere to the aforementioned guidelines will result in automatic ineligibility.

### **Project Summary**

The proposal must contain a one-page summary (maximum 26 lines, using a 12-point font) of the proposed activity, suitable for publication. This summary must 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 must include:

1. A statement of objectives.
2. Methods to be employed.
3. Significance of the proposed activity to the advancement of knowledge and economic development in the State of South Carolina.

It should be informative to other persons working in the same or related field, and be understandable, insofar as possible, to a literate reader in the discipline.

### **Project Description**

The main body of the proposal should be a detailed statement of the work to be undertaken and must include:

1. General plan of work, including the broad design of activities to be undertaken.
2. Adequate description of methods and procedures.
3. Objectives for the period of the proposed work and expected significance or contribution to the field.
4. Relation to longer-term goals of the investigator's project.

5. Relation to the present state of knowledge in the field including work in progress by the investigator and work in progress elsewhere.
6. Description of any substantial collaboration with individuals not referred to in the budget should be described.
7. Documentation of such collaboration with a letter from each collaborator should be included as an appendix.
8. The specific contributions the proposed work will make toward extending or developing the knowledge and technology base and toward developing the economy of South Carolina.
9. (For science and engineering proposals only) Potential new discoveries or advances that are expected as a result of the research.
10. A statement declaring that the applicant institution will comply with all state, federal, and local regulations on the research uses of humans, animals, and substances/conditions which are applicable as biohazards.

### **Special Guidelines for Equipment**

Proposals that request equipment must list potential uses and a description of its uses(s) as it relates to the project. The descriptions should be succinct and should emphasize the intrinsic merit of the activity for the discipline and the importance of any equipment to it. A brief summary will suffice for auxiliary users of equipment.

The CHE for purposes of these proposals defines equipment 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 with description and estimated cost, including tax, and adequately justified.

Allowable items will ordinarily be limited to scientific equipment and apparatus that are not already available for the conduct of the work. With the exception of computers and computer-related equipment such as software, general purpose office equipment will normally not be considered eligible for support.

The purchase of equipment with grant funds must follow the guidelines used in other equipment purchased by the institution. It must also follow restrictions and requirements for equipment purchases by the State.

### **Bibliography**

A bibliography of pertinent literature is required. Citations must be completed according to the standard format used in the discipline of the proposal.

### **Biographical Sketches**

Vitae of senior personnel and a list of each investigator's publications during the past five years, including those in process of publication, must be provided. The vitae must list only academic essentials. Proposals including equipment purchases in excess of \$1000 per item must include a brief biographical sketch and a list of publications for each user.

For the personnel who are postdoctoral associates, other professionals, or graduate students (including research assistants), the proposal may include information or exceptional qualifications of the individual that merit consideration in the evaluation of the proposal.

### **Budget**

Each proposal must contain a budget for the term of support requested. The proposal may request funds under any of the headings listed in the budget format as applicable to the proposed project. No indirect costs are permitted. The total amount of funds requested should be rounded to the nearest hundred dollars.

#### *Salaries and Wages*

The proposal must list:

1. The names of the principal investigator and any co-principal investigator(s), faculty, and other senior associates.
2. The estimated number of academic, summer, or calendar year person-months for which CHE funded is requested. (See definitions of categories of personnel on later pages.)

For postdoctoral associates and other professionals, each position must be listed, with the number of full-time equivalent person-months and rate of pay (hourly, monthly, or annual). For graduate and undergraduate students, secretarial, clerical, technical, etc., only the total number of persons and total amount of salaries per year in each category are required. Salaries requested must be consistent with the institution's regular practices.

The Commission regards research as one of the normal functions of faculty members at institutions of higher education. Compensation for time normally spent on research within the term of appointment is deemed to be included within the faculty member's regular institutional salary. Grant funds may not be used to augment the total salary or rate of salary of faculty members during the period covered by the term of faculty appointment or to reimburse faculty members for consulting or other time in addition to a regular full-time institutional salary covering the same general period of employment. Grant funds may not be used to purchase release time for faculty for consulting or other time in addition to a regular full-time institutional salary covering the same general period of employment. However, grant funds may be used to purchase release time for faculty members to conduct the proposed research during their term of appointment. Purchase of release time should be clearly identified so it will not be confused with requests for supplemental income, which is not permissible during the academic year. Further, summer salary for faculty members on academic year (nine month) appointments will be funded for no more than three months of their regular academic-year salary.

The budget may request funds for support of graduate student research assistants to help carry out the proposed research. Compensation classified as salary must be requested in the salaries and wages category. Any direct costs requested for tuition remission may be listed separately under "Other Direct Costs" or "Fringe Benefits," as appropriate.

### *Fringe Benefits*

Fringe benefits must be treated as direct costs, reimbursable under the grant.

### *Travel*

Travel in the United States and its possessions, Puerto Rico, and Canada is considered domestic travel; all other is foreign. The proposal must include relevant information, including countries to be visited and dates of visit, if known, and justification for any foreign travel planned in connection with the project. Each foreign trip not specifically included and authorized in the grant budget must receive advance written approval by the CHE if grant funds are to be used.

Allowance for air travel normally will not exceed the cost of round-trip economy airfare. Persons traveling under CHE grants or contracts must travel by U.S. flag carriers, if available.

The type and extent of travel and its relation to the proposed activities must be specified. Funds may be requested for:

1. Field work.
2. Attendance at meetings and conferences associated with the proposed work.
3. Other travel and subsistence associated with the proposed work.

In order to qualify for support, attendance at meetings or conferences must enhance the investigator's ability to:

1. Perform the work.
2. Plan extensions of it.
3. Disseminate its results.

### *Participant Support Costs*

This budget category refers to costs of transportation, per diem, stipends, and other related costs for participants in CHE-sponsored conferences and workshops.

### *Other Direct Costs*

The budget must itemize other anticipated direct costs not included under the headings above, including materials and supplies, publication costs, computer services, and consultant services (which are discussed below). Other examples are: Aircraft rental, space rental at research establishments away from the grantee institution, minor building alterations, payments to human subjects, service charges, and construction of equipment or systems not available off-the-shelf. Reference books and periodicals may be charged to the grant only if they specifically relate to the project.

**Materials and supplies:** The budget must indicate in general terms the type of expendable materials and supplies required with their estimated costs. The breakdown must be more detailed when the cost is substantial.

**Publication Costs/Page Charges:** The budget may request funds for the costs of preparing and publishing the results of the work conducted under the grant, including costs of reports, reprints, page charges, or other journal costs (except costs for prior or early publication), and necessary illustrations.

**Consultant Services:** Anticipated consultant services and costs must be justified, and information furnished on each individual's expertise, primary organizational affiliation, daily compensation rate, number of days of expected service and travel expenses.

**Computer Services:** The cost of computer services, including computer-based retrieval of scientific, technical, and educational information, may be requested. A justification for the established computer service rates of the proposing institution must be included. The budget also may request costs which must be shown to be reasonable for leasing automatic data processing equipment. The purchase of computers and associated hardware and software must be requested as items of equipment.

**Subcontracts:** None of the activities under a CHE grant may be contracted out or transferred to any organization without prior, written approval by the CHE. Subcontracts must be disclosed in the proposal so that the grant letter can contain their prior approval. There must be a complete budget, in the prescribed format, for each subcontract. The total amount of each subcontract must appear as a line item under "Other Direct Costs" in the master budget for the project. Collaborative work with another investigator at another state of South Carolina institution eligible for these funds may be reflected as a subcontract. However, the total amount requested under these arrangements must not exceed \$25,000.

### **Current and Pending Support**

The format for reporting all current and pending support for ongoing projects and proposals is given below. All current project support from any source must be listed. The list must include the proposed project and all other projects requiring a portion of time of the principal investigator, co-principal investigator(s) and other senior personnel, even if they receive no salary support from the projects(s). The number of person-months or percentage of effort to be devoted to the projects must be stated, regardless of source of support. Similar information must be provided for all proposals that are being considered by or will be submitted soon to other possible sponsors, including NSF, NASA, DOE, NIH, Agriculture, EPA, ONR, NEA, NEH, U.S. Department of Education, and any other federal agency which has a national competition for research funds.

If the proposed project has been funded previously by a source other than CHE, the information requested in the paragraph above must be furnished for the immediately preceding funding period.

If the proposal is being submitted to other possible sponsors, all of them must be listed. Concurrent submission of a proposal to other organizations will not prejudice its review by the CHE.

### **Previous Federal Agency Competitive Grants**

List all federal agency grant awards stemming from national competitive grant programs that the principal investigator(s) has received during the previous ten-year period. The listing must include: a) the P.I.(s); b) the title, c) the federal agency; d) official award number; and e) the official initiation and termination dates. (See Eligibility Requirement Sheet.)

### **Facilities and Equipment**

An appendix must be added to the proposal describing available facilities. Major items of equipment to be used in the proposed work should be described if they are of a specialized nature and essential to the performance of the project.

Equipment to be purchased, modified, or constructed must be described in sufficient detail to allow comparison of its capabilities to the needs of the proposed activities. Whenever possible, the proposal should specify the manufacturer and model number.

Proposals requesting multiple-use equipment must describe comparable equipment that is already at the proposing organization and explain why it cannot be used. The degree of utilization must be discussed.

Equipment proposals must also describe arrangements for maintenance and operation, including:

1. A biographical sketch of the person(s) who will have overall responsibility for maintenance and operation, and a brief statement of his or her qualifications, if the sketch does not make them obvious.
2. A description of the physical facility where the equipment will be located, including floor plans or other data if appropriate.
3. Annual budget for operation and maintenance of the proposed equipment, indicating source of funds.
4. A brief description of other support services available, particularly related equipment and the annual budget for their operation, maintenance, and administration.

Special purpose equipment having a unit acquisition cost of more than \$10,000 and purchased or leased with grant funds will be subject to reasonable inventory controls, maintenance procedures, and organizational policies that enhance its multiple or shared use on other projects, if such use does not interfere with the work for which the equipment was acquired.



## **Accountability Reports**

Reports on the progress toward the goals of the grant and on budget reconciliation will be required annually for the life of the grant or at the end of the grant, whichever period is shorter. These reports should be brief (1-3 pages) but should provide an abstract of the findings from the project, show how funds from the State have been used to achieve findings, and how the funds have contributed to economic development of South Carolina. For projects which use CHE funds to leverage support for continuation in subsequent years, brief reports on accomplishments may also be required. Additional instructions and due dates will be issued with the CHE award letter.

## **Proposal Evaluation Criteria**

Proposals must be received in CHE's office by 5:00 p.m. on Thursday, September 30, 1999. The staff at the Commission on Higher Education will order them and certify their basic eligibility. After performing this first-order review, the CHE staff will send the proposals out for evaluation under the guidelines by a panel of external peer reviewers. The proposal evaluation criteria to be used in the peer review process are:

1. Likelihood that the proposal can be accomplished, based on:
  - Qualifications /capabilities of the investigator(s).
  - Soundness of the proposed approach.
  - Adequacy and appropriateness of the available resources.
2. Merit of the proposal, based on:
  - Likelihood that the proposed work will lead to new discoveries, new knowledge, technology transfer or fundamental advances in the field.
3. Relevance of the proposed work to extrinsic goals including:
  - Economic development.
  - New or improved technology.
  - Solution of societal problems.
  - Addition to public awareness and appreciation of the field.

Criteria 1, 2, and 3 constitute an integral set and are applied in a balanced way to all research proposals in accordance with the objectives and content of each proposal. Criterion 1, performance competence, is essential to the evaluation of the quality of every proposal. The relative weight given Criteria 2 and 3 depends on the nature of the proposed work. Criterion 2, intrinsic merit, is emphasized in the evaluation of applied research proposals. Criterion 3 also relates to major goal-oriented activities, such as those directed at improving the knowledge base underlying science and technology policy, furthering international cooperation in science and engineering, and addressing areas of state and national need. Similar impacts for other disciplines such as business, social sciences, and arts and humanities with respect to improving the knowledge base underlying policy and/or understanding the discipline fit this criterion.

# **Instructions for Use of Summary Proposal Budget**

## **General**

1. Each grant proposal must contain a Summary Proposal Budget in this format.
2. Completion of the Summary Budget does not eliminate the need to document fully and justify the amount requests in each category. Such documentation must be provided on additional page(s) immediately following the budget in the proposal and must be identified by line item. The documentation page (s) must be titled "Budget Explanation Page."
3. If a revised budget is required by CHE, it must be signed and dated by the authorized organizational representative, principal investigator and any co-principal investigator(s) and submitted in at least two original copies.

## **Budget Line Items**

Following is a brief outline of budget line items that require documentation on the Budget Explanation Page.

A..B., and C. Salaries, Wages and Fringe Benefits: Fully justify on Budget Explanation Page(s). Daily rates paid for services under the grant may not exceed base daily salary rate. For example, a 9 month salary = 195 work days. Therefore, the total amount paid divided by 195 will equal the daily rate. This daily rate cannot be exceeded for any individual hired under the grant for services.

D. Permanent Equipment: While items exceeding \$500 and having two or more years of useful life are defined as permanent equipment, it is only necessary to list item and dollar amounts for each item exceeding \$1,000. Fully justify.

E. Travel: Address the type and extent of travel and its relationship to the project. Itemize by destination and cost and justify travel outside the United States, its possessions, Puerto Rico and Canada. Include dates of foreign visits or meetings. Fare allowances are limited to roundtrip, jet-economy rates.

F. Participant Support Costs: Normally, participant support may only be requested for grants supporting conferences, workshops, or symposia.

G. Other Direct Costs:

1. Materials and Supplies: Indicate types required and estimate costs
2. Publications Costs/Page Charges: Estimate cost of preparing and publishing project results.
3. Consultant Services: Indicate name, daily compensation, estimated days of service, travel, and justify.

4. **Computer Services:** Include justification based on established computer service rates at the proposing institution. Purchase of equipment is included under D.
5. **Subcontracts:** Include a complete budget and justify details.
6. **Other:** Itemize and justify. Include computer equipment leasing.

Applicants must not alter or rearrange the cost categories as they appear on this form. Improper completion of this form may result in return of the proposal to the applicant and elimination of the proposal from this competition.

### **Definitions of Categories of Personnel**

The personnel categories listed in Parts A and B of the proposed budget are defined as follows:

#### **A. Senior Personnel**

The principal investigator and any co-principal investigator(s) so designated by the grantee institution. A faculty associate (faculty member) is an individual other than the principal investigator or co-principal investigator who is considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

#### **B. Other Personnel**

1. A Postdoctoral Associate is an individual who received a Ph.D., M.D., D.Sc., or equivalent degree less than five years ago, who is not a member of the faculty of the performing institution, and who is not reported under Senior Personnel above.
2. Other Professional is a person who may or may not hold a doctoral degree or its equivalent, who is considered a professional and is not reported as a principal investigator or co-principal investigator, faculty associate, postdoctoral associate, or student. Examples of personnel included in this category are doctoral associates not reported under B.1., professional technicians, mathematicians, physicians, veterinarians, systems experts, computer programmers, and design engineers.
3. A Graduate Student (research assistant) is a part-time or full-time student working on the project in a research capacity who holds at least a bachelor's degree or its equivalent and is enrolled in a degree program leading to an advanced degree.
4. An Undergraduate Student is a student who is enrolled in a degree program (part-time or full-time) leading to a bachelor's degree.
- 5.6. These categories include persons working on the project in a non-research capacity, such as secretaries, clerk-typists, draftsmen, animal caretakers, electricians, and custodial personnel, regardless of whether they hold a degree or are involved in degree work.

## **Checklist for Proposal Submission**

To assure that research proposals submitted to the Commission on Higher Education are complete, an administrative check must be made before mailing. Please attach the completed checklist as the top sheet of your original proposal.

- \_\_\_\_\_ Cover Sheet with required signatures
- \_\_\_\_\_ Eligibility Requirement Sheet
- \_\_\_\_\_ Table of Contents
- \_\_\_\_\_ Project Summary (Up to one page)
- \_\_\_\_\_ Project Description (Up to 10 pages, maximum 26 lines per page)
- \_\_\_\_\_ Bibliography of pertinent literature
- \_\_\_\_\_ Biographical Sketches of senior personnel including publications for the last five years
- \_\_\_\_\_ Summary Proposal Budget and Budget Explanation Page (s) in requested format
- \_\_\_\_\_ Current and Pending Support Form
- \_\_\_\_\_ Facilities and equipment description
- \_\_\_\_\_ List of Suggested Reviewers (attach to original only)
- \_\_\_\_\_ Description of the Potential Impact on Economic Development for the State of South Carolina description (one page, attach to original only)
- \_\_\_\_\_ Six copies of the proposal, including the original signed copy
- \_\_\_\_\_ 3.5 inch computer disk of the summary and entire proposal.

# COVER SHEET FOR RESEARCH GRANT PROPOSALS

Commission on Higher Education

**CHE PROPOSAL NUMBER:**

(To be assigned by CHE)

**AMOUNT REQUESTED:**

(Round to nearest hundred dollars)

**SPECIFIC PROJECT FOCUS:**

**PROJECT START DATE:**

**PROJECT END DATE:**

**NAME OF INSTITUTION:**

**DEPARTMENT:**

**TITLE OF PROPOSED PROJECT:**

**PRINCIPAL INVESTIGATOR:**

NAME

TITLE

SIGNATURE

**ADDRESS:**

**E-MAIL ADDRESS:**

**PHONE:**

**CO-PRINCIPAL INVESTIGATOR(S)**

NAME

TITLE

SIGNATURE

**AUTHORIZING SIGNATURE(S)**

NAME

TITLE

SIGNATURE



## SUMMARY PROPOSAL BUDGET

(Follow instructions on pages 12-14 when completing this form)

Name of Institution:

Name of Principal Investigator:

### A. SENIOR PERSONNEL: (See page 16 for personnel definitions.)

Name/Title	Rate of Pay	No. of Months			Dollar Amount Requested
		CAL	ACA	SUM	
<b>Subtotal:</b>					

### B. OTHER PERSONNEL: (See page 14 for personnel definitions.)

Name/Title	Rate of Pay	No. of Months			Dollar Amount Requested
		CAL	ACA	SUM	
<b>Subtotal:</b>					

### C. FRINGE BENEFITS:

Rate of Pay (%)	Salary Base	Dollar Amount Requested
<b>Subtotal:</b>		

### D. EQUIPMENT: (List each item with a cost in excess of \$5000.00 and expected service life of more than one year).

Item/Description	Dollar Amount Requested

### E. TRAVEL:

Dates of Travel (from to)	No. of Persons	Total Days	Transportation	Lodging	Per Diem	Dollar Amount Requested
<b>Subtotal:</b>						

<b>F. PARTICIPANT SUPPORT COSTS</b>		<b>Dollar Amount Requested</b>
1. Stipends		
2. Travel		
3. Subsistence		
4. Other		
<b>Subtotal:</b>		
<b>G. OTHER DIRECT COSTS:</b>		<b>Dollar Amount Requested</b>
1. Materials and Supplies		
2. Publication Costs/Page Charges		
3. Consultant Services (Include Travel Expense)		
4. Computer Services		
5. Subcontracts		
6. Other		
<b>Subtotal:</b>		
<b>H. TOTAL COSTS (Add Subtotals, sections A-G)</b>		<b>Total:</b>
<b>I. Amount Requested:</b>		<b>Total:</b>
Principal Investigator's Signature:		Date:



## CURRENT AND PENDING SUPPORT

The following information should be provided for each investigator and other senior personnel. Failure to provide this information may delay consideration of the proposal.						
I. Name of Investigator	Source of Support	Project Title	Award Amount (or Annual Rate)	Period Covered by Award	Person-Months or % of Effort Committed to Project	Location of Research
					ACAD SUMM CAL YH	
A. Current Support (List if none, report none)					/ /	
B. Proposals Pending					/ /	
1. List this proposal					/ /	
2. Other pending proposals including renewal applications. If none, report none.					/ /	
3. Proposals planned to be submitted in near future. If none, report none.					/ /	
II. Name of principal investigator and/or associate.					/ /	
A. _____					/ /	
B. _____					/ /	
III. Transfer of Support					/ /	
If this project has previously been funded by another agency, please list and furnish information for immediately preceding funding period					/ /	
IV. Other agencies to which this proposal has been/will be submitted.					/ /	

USE ADDITIONAL SHEETS AS NECESSARY

## LIST OF SUGGESTED REVIEWERS

(attach original proposal only)

List the names and addresses of five potential reviewers. **Do not contact them or they will be disqualified.** These referrals must be experts in your field with national prominence and experience. Only one person per institution/organization will be eligible to serve as a reviewer. Also, those potential reviewers must not reside or work in the State of South Carolina. **Avoid any conflict-of-interest. This would include co-publishers in the last five years, your dissertation advisor, a business or financial partner, and others with whom you have had a close working relationship.** If you are not sure, contact your research office or the CHE staff for clarification. Please include complete address, telephone numbers, and e-mail addresses if available. If there are any individuals that you prefer not review this proposal, please list them at the end of this sheet.

1) Name: \_\_\_\_\_

Phone #: \_\_\_\_\_

Institution: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Address: \_\_\_\_\_

4) Name: \_\_\_\_\_

Institution: \_\_\_\_\_

Address: \_\_\_\_\_

Phone #: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Phone #: \_\_\_\_\_

2) Name: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Institution: \_\_\_\_\_

Address: \_\_\_\_\_

5) Name: \_\_\_\_\_

Institution: \_\_\_\_\_

Address: \_\_\_\_\_

Phone #: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Phone #: \_\_\_\_\_

3) Name: \_\_\_\_\_

E-Mail: \_\_\_\_\_

Institution: \_\_\_\_\_

Address: \_\_\_\_\_

**Reviewers for this proposal should  
have expertise in the area(s) of :**

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**Individuals you prefer not review this  
proposal (please list name and  
institution):**

1. 

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2. 

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3. 

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4. 

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5. 

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**Guidelines for the  
SOUTH CAROLINA INSTRUCTIONAL TECHNOLOGY  
INCENTIVE (SCITI) GRANT PROGRAM  
FY 1999-2000**

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## **Program Authority and Goals**

On recommendation of the South Carolina Commission on Higher Education, the State of South Carolina's General Assembly in 1999 appropriated funds for the purpose of providing small grants to public institutions of higher education in the State to support development of technology-delivered coursework. The objective is to help institutions speed their progress to offer a broader and qualitatively improved range of coursework and programs by way of technology, whether through synchronous or asynchronous modes.

This grant program is intended:

- To increase access for students to educational programs
- To maximize the rate and quality of student learning
- To spur creativity and to insure rewards for faculty productivity
- To control costs

Funds to be awarded through this grant program amount to approximately \$500,000, in 1999-2000. Funds will be awarded to institutions in an open competition among proposals from faculty at all eligible institutions. **Proposals must be received in the CHE office by September 30, 1999, at 5:00 p.m. Proposals received after 5:00 p.m. will not be considered.** Institutional applicants should be aware of and observe the submission procedures established by their own institutions.

## **Nature of Awards**

In view of the widespread need for support of course development across many higher education institutions, the terms of awards will not exceed one year and the amount of a single award will not exceed \$12,000. Interinstitutional and system-wide awards may not exceed \$25,000. The average awards are expected to be in the range of \$7,000 to a single institution to \$9,000 for grants to adapt a course from one technology delivery system to another and \$10,000 to \$12,000 for grants to develop courses for first-time technology delivery. Awards will be made initially for development of credit-bearing coursework which meet selection criteria described later in this document.

An administrative and evaluation component for the program is also contained in this funding and will be budgeted as approximately 5% of total funds.

## **Institutional Eligibility Requirements**

All public two- or four-year institutions of higher education in South Carolina are eligible to receive funding under this grant program. Awards will be made to institutions. Institutions may receive multiple awards. Interinstitutional and system-wide projects are

encouraged, in which case only one of the institutions can be named as the fiduciary agent.

Courses funded with FY 1999-2000 monies must be offered not later than in the 2000-2001 academic year cycle. Proposals for courses to be offered later than Summer 2001 will not be considered for funding in the current competition, but may be considered for the following year, assuming availability of funds.

### **More Information: Website**

Once approved, these Guidelines will be posted on CHE's Website:  
<http://che400.state.sc.us>

## **Guidelines for Preparation of Proposals**

### ***Award Requirements for FY 1999-2000***

There are two primary goals of this grant program. The first is to expand the range of postsecondary educational courses and programs available to the citizens of South Carolina through technology and, thereby, to increase the number of learners served while avoiding unnecessary duplication of coursework delivered by technology. The second goal is to enhance the quality of courses and expand the use of a variety of instructional technologies within those courses to improve teaching and learning. A secondary goal of this program is to foster institutional collaboration and cooperation through the sharing of resources, including courses, instructional technology, credit awarding, and other related components.

The focus of this year's program is credit-bearing courses applicable to undergraduate or graduate programs already approved or for which approval is being sought currently. The course must be delivered off-campus via distance education. The course must show evidence of having already been approved for offering at the institution and, in applicable cases, should also show evidence of its acceptance at other institutions in support of their degree requirements.

Preference will be given to course development that shows evidence of reaching targeted student audiences of historically underrepresented groups in higher education.

### ***Review Process***

In order to assure timely awards to recipient institutions for FY 1999-2000, the following due dates will be strictly observed. Proposing institutions must submit their proposals by Thursday, September 30, 1999 at 5 p.m.

Prompt circulation of proposals will occur by mid-October for review and approvals by the Selection Committee, which shall be composed of several institutional vice presidents for academic affairs and representatives of the private sector. The returned recommendations must be approved by the Committee on Academic Affairs and the Commission on Higher Education not later than December 2, 1999.

The Commission expects to notify recipients of their awards by January 2000.

### ***Selection Criteria***

Proposals will be evaluated according to the following criteria, each of which will be equally weighted. The maximum score for each criterion is 10.

1. Quality of instructional design and delivery plan.
2. Extent to which the instructional goals are consistent with the use of technology.
3. Effectiveness of the plan for reaching a large target audience.
4. Effectiveness of the instructional design for serving the target audience.
5. Effectiveness in use of available technologies.
6. Extent to which the proposed course evaluation plan will provide guidance for others about effective teaching/learning strategies.
7. Potential of the project for reaching a historically underserved population and for adding new value to learning opportunity by not duplicating courses already offered via technology.
8. Potential contribution of the project to other instructional efforts, on and off campus
9. Strength and breadth of institutional support for the project, including commitment of resources and support of department/program chair, dean, and vice president for academic affairs.
10. Potential contribution of the project to technology-delivered associate, baccalaureate, or master's programs.

### ***Eligible Expenses***

In order to provide adequate funding to as many deserving proposals as possible, awards may not include purchase of equipment such as computers, space rental, or other items which may be considered part of institutional infrastructure and routine support. Examples of expenses eligible for purchase with award monies or for the institutional contribution include: faculty release time, travel to a special training program, an unusual software package (such as development or authoring software but not simply standard presentation software, for instance), small or out-of-the-ordinary equipment (such as a scanner or digital camera), assistance to provide release time for the proposer or support software development or instructional development, copyright fees, or similar costs which can inhibit or delay a faculty member's ability to develop new technology-delivered courses.



## ***Accountability Requirements***

Grantees will be required to present final narrative and financial reports at the conclusion of the course-development project (deadlines will be included in the award contract, typically one month after project completion). The final narrative report should include not only a summary of the project but also a copy of the course syllabus. After the course has been delivered the first time, the grantee will provide a follow-up report that includes results of course evaluation. The Commission will pursue with grantees the possibility of publishing evaluation results. Any publication of the results of this grant should acknowledge the support given to the project by the S.C. Commission on Higher Education.

No subcontract of this grant may be made without prior written approval of the S.C. Commission on Higher Education.

An institution which does not complete the project for which it was funded within the fundable period will be required to return all funds which were allocated. Failure to do so will render the institution ineligible for applying for this grant program in future competitions.

## ***Contents of the Proposal***

Proposals must be submitted in accord with the following format:

1. Cover Page

Use the form included with this Request for Proposals.

2. Abstract

Provide a one-paragraph summary of the program need, course to be developed, media to be used, and amount requested from CHE.

3. Narrative (maximum five pages, maximum 26 lines per page, 12 font type) including:

- Need to be addressed and learners to be served
- Rationale for choice of course and technology/technologies to be used (including the statement that the institution is in compliance with all federal, state and local laws and regulation for research of humans, animals, and for situations/conditions which may be considered biohazards)
- Institutional capacity and commitment to the project (A letter from the appropriate academic administrator should be included as appendix in which appears a statement of the importance of this course to the institutional curriculum and an assurance that the course will continue to be supported beyond its initial offering.)
- Instructional design plan
- Course evaluation plan

- Plans for peer review and/or strategies to strengthen quality and interinstitutional acceptance
  - Project schedule  
(A timeline should be provided in which it is shown that the course will be offered not later than Summer 2000.)
4. Key course development personnel The narrative should identify briefly the faculty who will be responsible for course development along with any other key personnel such as instructional designers or media/library information specialists and their contribution to the project. The appendix should include a summary--one-page maximum--of the relevant faculty's experience in teaching related course content and/or using technology to support instruction. Resumes should not be supplied.
5. Proposal Budget Page and Narrative  
The budget page included with this Request for Proposals is to be used. In a short narrative that accompanies the budget page, the applicant institutional representative is to explain the basis for major cost items, how they relate to proposed activities, and specific elements of the institutional contribution to the project.
- For each of the project personnel, how his/her salary or wages were derived as well as the fringe benefits formulae consistent with institutional policies must be indicated. Consulting services internal to the institution may be included in the budget with unit costs described. Use of external consultants must be thoroughly justified. Institutional policies should apply to both Supplies and Expenses items and Travel. Eligible equipment purchases may accordingly need to be included under Supplies and Equipment or Other Direct Costs.
- No indirect costs are allowable for these projects.
6. Appendix  
The primary appendix will be the one-page summary of the lead faculty member's experience. It may be appropriate to include one or two letters of support for the project, but the total material appended may not exceed five pages.

## **Submission Guidelines**

Two complete paper copies of the proposal must be submitted. One of these must contain the original signatures of the project director and of the official authorized to commit the institution to the grant competition. An electronic copy of the proposal, including relevant appendices, in Microsoft Word format on diskette or transmitted via electronic mail (saved as an ASCII text file) must also be submitted in order to expedite circulation of the proposal to reviewers.

**Proposals must be received in the Commission office by 5:00 p.m. Thursday, September 30, 1999. Proposals received after 5 p.m. will not be considered. Applicant institutional representatives will receive confirmation within ten working days that the proposal has been received.**

**Proposal Forms (attached)**

**SCITI COURSE DEVELOPMENT GRANT PROGRAM**  
Proposal Cover Page

**Applying Institution (and Campus)**

**Requirements Addressed in the Project (check one):**

- ☐ Full-credit course supporting degree program available or to be made available by distance education.
- ☐ Is the course a new one? (i.e. offered before in any format)? Yes \_\_\_ No \_\_\_

**Project/Course Number and Title**

**Project Director**

**Campus Address**

**Telephone Number**

**E-Mail Address**

**Grants/Contracts Contact Person**

**Address**

**Telephone Number**

**E-Mail Address**

**Project Start Date**

**Term when course will first be offered**

**Project End Date**

**SCITI Fund Requested**

**Institutional Contribution**

**SOUTH CAROLINA INSTRUCTIONAL TECHNOLOGY  
INITIATIVE (SCITI) GRANT PROGRAM**

**Proposal Budget Page**

Project Title:

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Institution:

--

Project Director:

--

Contracts Contact Person:

--

Telephone:

--

E-Mail:

--

Project Start Date:

--

Project End Date:

--

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**Projected Expenses**

	<b>SCITI Request</b>	<b>Other</b>	<b>Total</b>
1. Salaries and Wages:			
2. Fringe Benefits:			
3. Consulting Services:			
4. Supplies and Expenses:			
5. Travel:			
6. Other Direct Costs:			

7. TOTALS:

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**Signature of Project Director:**

**Signature of Authorizing Administrator**

\_\_\_\_\_  
**Name**

**Title**

**Date**

\_\_\_\_\_  
**Name**

**Title**

**Date**

## CHECKLIST FOR PROPOSAL SUBMISSION

Please use this checklist to ensure that all essential information is included.

### TWO COPIES

- \_\_\_\_\_ Cover Sheet with required signatures and collaboration information
  - All collaboration information must be listed
  - PI and lead institution authorization signature must be original
  - Other signatures may be original, from faxed copies, or in letters of collaboration
  - Collaboration arrangements require one signature from the provost or academic vice president
- \_\_\_\_\_ Biographical Sketches of senior personnel--maximum of two pages each
- \_\_\_\_\_ Project Summary (300 words)
- \_\_\_\_\_ Project Description (Up to 10 pages, maximum 26 lines per page).
- \_\_\_\_\_ Summary Proposal Budget and Budget Explanation Page(s) in requested format
- \_\_\_\_\_ Facilities and equipment description
- \_\_\_\_\_ Statement contained in the Proposal Narrative declaring that the institution is in compliance with all federal, state, local laws and regulations for research uses of humans, and animals, and for substances/conditions which may be considered biohazards.
- \_\_\_\_\_ Facilities and equipment description
- \_\_\_\_\_ Letters of support, as applicable

### ELECTRONIC COPY

- \_\_\_\_\_ 3.5 inch computer disk in Microsoft Word or e-mail entire proposal.