



# INDIANA UNIVERSITY

OFFICE OF THE VICE PROVOST FOR RESEARCH

Bloomington

## RESEARCH EQUIPMENT FUND (REF)

### Application Deadlines:

February 1 | August 1

### Guidelines

### Application Instructions

Questions regarding the REF should be directed to:

<b>REF Administration:</b>	Rick Van Kooten	<a href="mailto:rvankoot@indiana.edu">rvankoot@indiana.edu</a>	855-2650
	Jeff Zaleski	<a href="mailto:zaleski@indiana.edu">zaleski@indiana.edu</a>	855-2134
<b>REF Coordinator:</b>	Alicia Adelman	<a href="mailto:ovprgrnt@indiana.edu">ovprgrnt@indiana.edu</a>	855-0126
<b>REF Finance Manager:</b>	Cheryl Gilliland	<a href="mailto:cgillila@indiana.edu">cgillila@indiana.edu</a>	855-3246

## SYNOPSIS

The Research Equipment Fund supports the purchase or development of research equipment to be used by groups of investigators, working together or separately, on innovative projects that already have or have the potential for sustainable external support. Investigators may derive from a focused research network or may be programmatically unrelated and originate from different academic units and schools across campus. **Eligible projects must demonstrate how the equipment enhancement will benefit the research proponents with respect to scholarship and external funding portfolios, as well as indicate how it will augment the IU Bloomington campus research profile. It is expected that all proposals carry a 50% match from the participating unit(s). Waiving of this cost share match will be considered under exceptional circumstances. The maximum award will be on the order of \$200k and all funds must be spent within six months of the award date.**

## GUIDELINES

### PHASE 1 SUBMISSION DEADLINES TO OVPR AND FUNDING PERIODS

<u>Submission to OVPR by the Project Director</u>	<u>Funding Period</u>	
	<u>Begin Date</u>	<u>End Date</u>
February 1	April 1	September 30
August 1	October 1	March 31

### ELIGIBILITY

The request for funds to purchase equipment or development of equipment must enable:

#### Eligible Projects

- Research projects from a group of faculty requiring the purchase of equipment or development of specific instrumentation that will enhance the capability of IU Bloomington investigators to build and maintain novel fields of sustainable inquiry.
- Projects with specific equipment needs by researchers in the sciences, arts, humanities, and social sciences
- Collaborative endeavors that involve use of the equipment by faculty between disciplines and across schools.

#### Ineligible Projects

- Projects requesting consumable supplies or FTE support
- Activities focused on the development of instructional equipment for academic programs
- Proposals from commercial, industrial, and other for-profit entities

#### Eligible PIs

- All tenured and tenure-eligible faculty members at IU Bloomington
- Research scientists and center directors at IU Bloomington
- Medical Sciences faculty at IU Bloomington

### Ineligible PIs

- Visiting and adjunct faculty members
- Staff scientists (support-oriented positions) and postdoctoral research associates
- PIs with outstanding final grant reports from previously OVPR-funded projects

### MAXIMUM AWARD

- The maximum award will be on the order of \$200k. This amount includes a 50% match from the participating unit(s). Waiving of this cost share match will be considered under exceptional circumstances. Awards will typically be between \$10k and \$200k.

### FUNDING DURATION

- Budgets should be one-time amounts to be expended over a maximum of six months.
- The REF program does not provide multiple-year awards or renewals.

### MATCHING FUNDS

- All REF program support is expected to contain a cost-sharing arrangement between OVPR (maximum of 50%) and the faculty member's home department, college, and/or school (minimum of 50%). Variations of this matching structure will be considered on a case-by-case basis. Waiving of this cost share match will be considered under exceptional circumstances.

## PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

### ONLINE APPLICATION

<http://ovpr.indiana.edu/funding/ovpr-funding-programs/ref/>

### APPLICATION REQUIREMENTS

Applicants must complete an electronic application, create a budget using the template then attach it to the electronic application, and attach other required materials to the electronic application. Please note page limitations.

### APPLICATION COMPONENTS (PDFs are preferred.)

Details on the components of the electronic application are provided below. *The PI must log in to complete and submit the application.* Because IU CAS Authentication is required, the PI cannot give permission to access the application for viewing or editing purposes.

The electronic internal application must include:

1. **Proposal Cover Sheet:** *Proxies cannot be assigned.* A cover sheet will be generated from the information provided in the electronic application.

2. **Letter(s) of support from the chair and/or division head that includes:**

- a. The impact of the equipment on the research outcomes of the unit
- b. Endorsement and rationale for funding and timing of the proposed project or example type of projects enabled by the equipment
- c. A financial commitment totaling at least 50% (or negotiated percentage) of the final budget (can be from a variety of sources)

*Letters and reviews can be uploaded by the applicant or emailed to [ovprgrnt@indiana.edu](mailto:ovprgrnt@indiana.edu).*

3. **Upload Description** (5 page maximum - references are not included in the 5-page limit but are restricted to only 2 additional pages):

Must include these sections labeled as A-E:

- A. Have you submitted this proposal for any other internal or external competitions? If answer is anything other than “no”, explain.
- B. Describe the equipment to be purchased or developed within the context of the proposed research. How will the equipment be maintained over its lifetime?
- C. Describe in detail the research projects of the **major users** that the equipment will serve. How will use of the equipment lead to an enhancement of scholarship and contribute to the investigators’ external funding portfolios?
- D. Briefly discuss use of the equipment by **minor users** along with their department and school affiliations.
- E. Discuss how the equipment improvement will enrich the IU-Bloomington campus research profile.

4. **Budget and Uploaded Budget Justification:** The budget is to be completed using the online Budget Template. The budget should include all projected expenditures, and should support and be consistent with the proposal. The justification (1-page limit) must provide rationale for requested funds and a price quote for **all equipment**.

5. **Upload Key Personnel (1 page limit):** Provide a list of the **major users** of the equipment:

- Name
- School, department, center where applicable
- Roles of each PI (including description of usage and/or equipment maintenance)

6. **Upload Other Personnel (1 page limit):** Provide a list of **minor users** of the equipment:

- Name
- School, department, center where applicable
- Roles of each user (including description of usage and/or equipment maintenance)

7. **Upload Biosketches for Major Users (NIH or NSF format–3 page limit)**: Include both external and internal support, including start-up funds, should be listed in “Research Support” for ongoing and completed projects.

**Note: On the e-application, do not duplicate the name of the PI completing the application in the section listing Co-PIs and collaborators.**

#### **BUDGET INFORMATION - REF program funds must be expended at IU Bloomington.**

##### **Allowed**

- Funds for equipment purchased or constructed as part of a research program, facility, or center.
- Service or custom installation costs (within 6 months) are permissible on equipment purchased via the REF contribution.

##### **Not allowed**

- Academic year or summer salaries (including sabbatical leave)
- Funding for students or postdocs
- IU faculty or staff as paid consultants
- Service contracts for existing equipment or contracts that extend beyond 6 months
- Travel to conferences
- Course release funds
- Compensation for collaborators from other IU campuses or institutions

**HUMAN SUBJECTS/ANIMALS:** Depending on the project, funds may not be released until appropriate compliance approvals such as IRB/IACUC/IBC have been received (if applicable) or a demonstrated history of successful compliance approvals is provided.

##### **NO-COST EXTENSION**

A “no-cost extension” allowing funds to be carried over beyond 6 months **will typically not be considered and may be awarded only under exceptional circumstances** requiring a request with justification from both the PI and the chair/division head. Extensions are limited to an additional 3 months; beyond the extension period the unexpended funds will be recalled.

#### **OVR REVIEW**

1. OVR will internally review the applications and the suitability of the budgets to determine which proposals should be funded.
2. If needed, an advisory committee will be assembled to assist in the proposal review process on an *ad hoc* basis. The committee will report to OVR whether a proposal should not be funded or funded with the same or a reduced budget.
3. *Priority will be given to requests for funds for equipment that will be shared by users from more than one school or college.*

4. OVPR will make the final funding decisions. The number of awards made in a given cycle will depend upon available funds.

## POST AWARD REQUIREMENTS

1. Each successful applicant is required to notify OVPR upon submission and/or funding of external proposals based on the project funding received through the REF program. The applicant should provide the IU proposal number, title of the proposal, PI and co-PIs, agency, start date, duration, requested amount and funded amount.

Please use the *external submission notification* form found on this page:

<http://ovpr.indiana.edu/funding/ovpr-funding-programs/ref/>

2. Each successful applicant is required to submit a final report no later than 12 months after the purchase of the equipment. Requested data include but are not limited to:
  - Summary of the use of the equipment and how it addresses REF program goals
  - Equipment implementation and any expenditure(s) outside of the approved budget
  - Resulting publications, performances, conferences, exhibits, including titles, dates, venues, bibliographic information
  - Existing grants that are enabled by or external funding obtained through use of the equipment, including titles, agencies, date submitted (past and future), amounts requested, status, and awarded amount
3. Additional follow-up information may be requested outside of the progress report to determine the ongoing efficacy of the REF program.

### IP POLICY:

All awards are subject to Indiana University's intellectual property guidelines.

For policy details, see <http://iurtc.iu.edu/policies/intellectual-property.shtml>

### ACKNOWLEDGEMENT:

REF program awards must be acknowledged in any resulting publications, including press releases, using the following suggested language:

“This project was funded (or partially funded) by IU’s Office of the Vice Provost for Research through the Research Equipment Funding program.”

Links to the OVPR website would also be appreciated.

OVPR: <http://ovpr.indiana.edu/>

An electronic copy should be submitted to [ovprgrnt@indiana.edu](mailto:ovprgrnt@indiana.edu).

### DOCUMENT SOURCE:

This document, the electronic application and the associated documents are available on OVPR's website: <http://ovpr.indiana.edu/funding/ovpr-funding-programs/ref/>

## **FUTURE FUNDING**

Future funding of applications will be based on the success of external proposal submissions (awards) supported by the REF program from each department, school, or college.